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ABSTRACT

Reported here are the continuing hearings on H.R. 15 (a bill to extend for five years certain elementary and secondary education programs and the Adult Education Act) which examine the accomplishments and problems of the Adult Education Act since it was last amended in 1976. One-half of the content consists of the testimony, statements, and supplementary materials of four witnesses: Paul V. Delker, Director, Division of Adult Education, U.S. Office of Education; Gary A. Eyre, Executive Director, National Advisory Council on Adult Education; William L. Flowers, Jr., associate dean, Extension Division, Virginia Polytech and State University; and Curtis Ulmer, president, National Association for Public Continuing and Adult Education. An appendix comprises the second half of this report and includes the Adult Education Act as amended through 1976; regulations regarding state adult education programs from the Federal Register, April 23, 1975; selected statistics of adult education state grant programs aggregate United States, fiscal years 1965-75; program funding history; adult education state allocation tables for fiscal years 1971-77; adult education state allocations; adult education program completions; number of personnel receiving training in adult education programs by fiscal year; adult education participants, separations, achievements and performance levels, 1975; adult education participants, achievements and separations, 1976; and a summary of the Adult Performance Level (APL) project. (EM)

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PART 6: ADULT EDUCATION

HEARING

BEFORE THE

SUBCOMMITTEE ON ELEMENTARY, SECONDARY, AND VOCATIONAL EDUCATION

OF THE

COMMITTEE ON EDUCATION AND LABOR HOUSE OF REPRESENTATIVES

NINETY-FIFTH CONGRESS

FIRST SESSION

ON

H.R. 15

TO EXTEND FOR FIVE YEARS CERTAIN ELEMENTARY, SECONDARY, AND OTHER EDUCATION PROGRAMS

HEARING HELD IN WASHINGTON, D.C.
JULY 12, 1977

Printed for the use of the Committee on Education and Labor
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PART 6: ADULT EDUCATION

TUESDAY, JULY 12, 1977

HOUSE OF REPRESENTATIVES,
SUBCOMMITTEE ON ELEMENTARY, SECONDARY
AND VOCATIONAL EDUCATION,
COMMITTEE ON EDUCATION AND LABOR,
Washington, D.C.

The subcommittee met, pursuant to notice at 9:00 a.m., in room 2175, Rayburn House Office Building, Hon. Carl D. Perkins, Chairman of the subcommittee, presiding.

Members present: Representatives Perkins, Mottl, Le Fante, Heftel, Corrada, Kildee, Quie, Pressler, Goodling and Pettis.

Staff present: Nancy L. Kober, majority staff assistant, and Robert Andringa, minority staff director.

Chairman PERKINS. The subcommittee will come to order.

The Subcommittee on Elementary, Secondary, and Vocational Education is continuing hearings this morning on H.R. 15, a bill to extend for 5 years certain elementary and secondary education programs and the Adult Education Act, which expire at the end of fiscal year 1978. Today we will focus on the Adult Education Act.

The Adult Education Act makes services available to all disadvantaged adults to help them gain the basic skills they need to survive in society and to secure training to become more productive citizens. For this fiscal year, $80.5 million was appropriated for the Act.

In the years since it was first passed in 1966, the Adult Education Act has been expanded to allow States to fund adult education through the secondary level; to give special attention to institutionalized persons, adults of limited-English speaking ability, elderly and Indian adults; and to enter in cooperative arrangements with other Federal and State occupational, training, and reading programs.

Today we have with us Mr. Paul V. Delker, Director, Division of Adult Education, U.S. Office of Education, who will give us an overview of the accomplishments and problems of the Act since it was last amended. We also have here representatives of three organizations which have provided outstanding leadership in the area of adult education.

Let me welcome you here, Mr. Delker. We know of your experience in this area. We are delighted to welcome you here this morning.

Without objection, all your prepared statements will be inserted in the record. Proceed in any manner you prefer. Go ahead, Mr. Delker.

STATEMENT OF MR. PAUL V. DELKER, DIRECTOR, DIVISION OF ADULT EDUCATION, U.S. OFFICE OF EDUCATION

Mr. DELKER. Mr. Chairman and Members of the Subcommittee: I welcome this opportunity to appear before you to discuss accomplishments in adult education since the enactment of Federal legislation in 1964. In order to allow maximum time for dealing with your questions, I shall take only a few minutes to summarize accomplishments and research and evaluation findings, and to indicate what these findings and our experience of 12 years indicate as important future directions.

First, let me mention a few accomplishments. Since the enactment of Title II-B of the Economic Opportunity Act of 1964 and the subsequent redirection of the adult education program through the Adult Education Act of 1966, 1,445,149 adults have achieved an eighth grade educational competency. Since the authorization of instruction through the high school equivalency level, 901,521 adults have achieved a high school education or its equivalent through this program. Prior to enactment of the Adult Education Act, opportunities for adults to achieve these levels of education were very limited. When the adult education legislation was first enacted in 1964, only 10 States considered adult education sufficiently important to designate it as an area of responsibility at the State education agency level; and in some of these States, the designation warranted only a part-time responsibility. By 1967 all 56 States and Territories had Directors of Adult Education. Although the use of Federal funds for administrative purposes is limited to five percent of the total appropriation, today the more populated States employ as many as 35 supporting staff and specialists in adult education. State and local funds for adult education have risen from $4,797,000 in 1965 to an estimated $43,000,000 in 1976.

Developing and improving adult education programs in the 56 States and Territories required a considerable amount of staff development and training. In 1966, only 14 institutions of higher education in the nation offered staff development programs in adult education and these programs were directed almost entirely to staff development in postsecondary adult education. Through the stimulation provided by teacher training funds authorized to the Commissioner of Education, by 1974 over 100 institutions of higher education had developed the capability to provide pre-service and in-service training in adult education. By 1974, this newly developed capability existed by design in every State and emphasized staff development in adult basic education. Since 1966, approximately 200,000 teachers, administrators, and support personnel have received training under the Adult Education Act. In 1975 alone, 33,377 persons received training. (See Appendix 6.)

Now turning to research and evaluation, I think it is particularly noteworthy to point out that developing new systems of adult

education in the separate States and Territories presented a unique opportunity for the Federal Government to provide leadership and direction to the States. During the early years of the program, experience showed that grade level equivalencies were not the most appropriate method for structuring educational programs for adults. Therefore, utilizing the authority provided the Commissioner under Section 309, of the Act, in 1971 the Office of Education supported a research project designed to accurately identify the life-related educational needs of adults living in the United States in the 1970's. Designated the Adult Performance Level study, the project was completed in 1975 by the University of Texas. (See Appendix 8.) The overall purpose of the study, Mr. Chairman, was to operationally define the educational needs of adults living in our society in the 1970's in order that the developing State systems of adult education could more effectively target their resources on the actual life-skill needs of adults. These life-skill needs were represented by the Adult Performance Level study as 65 statements of functional competencies in occupationally related knowledge, consumer economics, health, use of community resources, and government and law. They, in effect, are statements which provide adult education administrators and practitioners with goals and aims around which they can develop curricula, methodologies, and staff development programs. Just as importantly, they also provide valid and reliable measures for determining the effectiveness of programs.

In the process of identifying these statements of functional competencies, the Adult Performance Level Study found it necessary to assess the ability of the adult population to perform in relation to these competencies. Sample surveys of the adult population between the ages of 18 and 65 revealed that an estimated 23 million adults in this country lack the basic competencies required to function at a minimal level in our society. An additional estimated 40 million meet this minimal level but lack the competencies required to be proficient in meeting everyday requirements.

Mr. Chairman, I have a fuller description as to how those competencies are arrived at and I would like to submit that for the record.

Chairman PERKINS. Without objection, said data will be incorporated into the record at this point.

[The information referred to follows:]

Determination of Competency Levels by the Adult Performance Level Study.

Well-defined levels of competency were determined utilizing data gathered in four national surveys of the adult population between the ages of 18 and 65 years. Education, income, and employability criteria contained in the Adult Education Act and related legislation provided policy guidance for establishing these levels. Three levels were derived and called simply APL 1, APL 2, and APL 3.

APL 1

(ADULTS WHO FUNCTION WITH DIFFICULTY)

APL 1's are those adults whose mastery of competency objectives is associated with:

1. Inadequate education of eight years of school or fewer
2. Inadequate income of poverty level or less
3. Unemployment or occupations of low job status

APL 2

(FUNCTIONAL ADULTS)

APL 2's are those adults whose mastery of competency objectives is associated with:

1. Education of nine to eleven years of school
2. Income of more than poverty level but no discretionary income
3. Occupations falling in medial job status range

APL 3

(PROFICIENT ADULTS)

APL 3's are those adults whose mastery of competency objectives is associated with:

1. High levels of education, high school completion or more

2. High levels of income or varying amounts of discretionary income

3. High levels of job status.

Notice that each of the three APL levels is a conjoint definition based on predicted education, income, and job status. Test data are used to "predict" an adult's success level, based on his functional competencies. Those persons classified as APL 1 are, by and large, "functionally incompetent" or adults who function with difficulty. APL 2's are competent, or adults functioning on a minimal level; and APL 3's are proficient in that their mastery of competency objectives is associated with the highest levels of income, education, and job status.

Since the sample data are nationally representative, it is possible to estimate the proportion of the U.S. adult population which comprises each APL level.

Mr. DELKER. Those unable to meet the minimal level, Mr. Chairman, are similar to those the Congress sought to serve when it passed the Adult Education Act of 1966 and mandated educational services for those with less than an eighth grade education. The additional 40 million lacking the competencies required to be proficient in meeting everyday requirements correspond to those the Congress sought to serve when, in 1970, it expanded the purpose of the Adult Education Act to enable all adults to continue their education to at least the level of completing secondary education.

I wish to emphasize again, Mr. Chairman, the importance of the functional competencies which the APL study identified. The statements of competencies provide life-related objectives around which programs can be designed and their effectiveness assessed.

There are several other research and evaluation projects which are significant for the purposes of this Subcommittee. In the interest of our time, I shall briefly summarize the relevant findings:

One. When viewed nationally, adult education programs are not attracting as high a percentage of the least educated adults as the Congress intended. Approximately 35 percent of those entering the program function between the first and fourth grade level; 41 percent function between the fifth and eighth grade level; and 24 percent function at the ninth grade level and above.

Two. The failure to attract the least educated adults is attributable in part to local adult education directors' inclination to serve adults who are striving to earn their high school diploma and are demanding services. This goal is not often part of the motivation of those functioning at the fourth grade level and below.

Three. A 1973 national study of the Adult Basic Education program revealed that participants learn to read about as fast as school children do, but they learn math skills only about 60 percent as fast.

Four. The quality of adult education programs is markedly improved when they are staffed by full-time administrators, teachers, and support personnel. However, in 1976, at least 75 percent of adult education staffs were part time.

In addition to the previously mentioned research and evaluation conclusions, a very significant indicator of future directions lies in the response of the States to the findings of the Adult Performance Level Study announced by the Commissioner of Education in October 1975. In the 21 months ensuing, these are some of the steps taken by the States:

Forty-four State adult education programs have given priority to the development of adult competency programs in such areas as occupational and employment competency, parent education, functional reading, and bilingual education.

More than 150 special developmental projects in adult competency utilizing approximately $5 million of Federal and State funds are in process.

Two States have developed and are implementing statewide competency-based adult high school programs and at least 10 other States have begun development of such programs.

New systems being developed by two States contain research and evaluation components which will make available during the next few months some reliable evidence of effectiveness. Based on preliminary information available about competency-based programs, we expect that significant gains may be made in three important areas:

One. Attracting a higher percentage of the less educated (0-4) population,

Two. Increasing the percentage of those participating adults who achieve their educational objectives and become functionally proficient, and

Three. Improving the learning rates of participating adults.

We look forward to sharing with this Subcommittee additional findings as they become available during the next few months.

I would be pleased to respond to any questions this Subcommittee may have.

Thank you.

Chairman PERKINS. That concludes your prepared statement.

We will hear now from Dr. Gary A. Eyre, Executive Director of the National Advisory Council on Adult Education.

I do want to state, that, to my way of thinking, this has been one of the most deserving and worthwhile programs which the Congress has enacted since about 1964. We tried to get it enacted many years prior to that. The results obtained from this program have been tremendous. I am delighted to hear your testimony this morning.

I want to hear now from Dr. Eyre.

STATEMENT OF DR. GARY A. EYRE, EXECUTIVE DIRECTOR, NATIONAL ADVISORY COUNCIL ON ADULT EDUCATION

Dr. EYRE. I must apologize because of a late school board meeting that Dr. Crews the Council Chairman could not be here this morning.

Chairman PERKINS. Without objection, your prepared statement will be inserted in the record.

Dr. EYRE. Thank you.

Dr. Crews has asked that I represent the Council this morning. I am accompanied by Dr. Turman, the Council's Administrative Director, and Mrs. Helen Banks, the Administrative Assistant for the Council.

[The prepared statement of Dr. Gary Eyre follows:]

Gary A. Eyre
July 12, 1977

Mr. Perkins, your Congressional Committee is embarking this morning on a journey for adult education which will enable millions of Americans to have access to an educational process which will provide them with opportunity to gain and upgrade their education as adults.

Thirteen years ago this month, the Congress of the United States initiated the adult basic education programs. Since that time, 8,500,000 adults without the completion of a level of education commensurate to high school have been enrolled in a partnership orogram between the federal government, the states, and local education agencies.

The cost factors for this program of adult education represent one of America's best education investments, less than $100 per person for 100 hours of instructional time.

The numbers to be served in the target population are shocking. 54 million adults of labor force age have not completed their high school education.

The Council, therefore, enthusiastically supports the proposal for an extension of the Adult Education Act with amendments to various sections of the law. These suggested amendments for your consideration are contained in our testimony beginning on page 13.

The Council would hope that successor legislation to the present Adult Education Act and its amendments will move the nation from the verge of becoming to being truly a learning society, thereby sustaining and enhancing education's historic contribution to the strength and vibrancy of our democratic principles and institutions.

I would like to take a moment and highlight the testimony.

Testimony of the

National Advisory Council on Adult Education

H.R. 15

The National Advisory Council on Adult Education, created by the Congress of the United States under provisions of the Adult Education Act (P.L. 91-230 as amended), has thoroughly reviewed the proposed bill titled "The Elementary and Secondary Education Act of 1977" (H.R. 15).

The Council strongly supports this new bill as it pertains to the Adult Education Act (Section 6, H.R. 15; p. 4).

The Council's decision to support an extension of the Adult Education Act was reached as a result of nine regional legislative hearings sponsored by the Council. These meetings were held in various regions around the country, and involved over 225 people addressing the issues of futures for adult education, and amendments to the Federal Adult Education Act. In addition to these nine meetings, the Council has devoted significant time toward amending the Act at each of its Council meetings since last August.

The Council has examined the findings from the legislative review meetings, and we recommend that the House Subcommittee on Elementary, Secondary, and Vocational Education examine the following section-by-section breakout of major issues which have been identified.

THE ADULT EDUCATION ACT

Short Title

Sec. 301. This title may be cited as the "Adult Education Act".

Issue

Should the Act title be changed to reflect:

- Lifelong Learning
- Continuing Education
- Compensatory Education
- Community Education

What are the positive and negative attitudes associated with the term "Adult Education"?

Statement of Purpose

Sec. 302. It is the purpose of this title to expand educational opportunity and encourage the establishment of programs of adult public education that will enable all adults to continue their education to at least the level of completion of secondary school and make available the means to secure training that will enable them to become more employable, productive, and responsible citizens.

Issue

Since the program has been in operation for over a decade, and because the problems of the undereducated may have changed, and because of our exposure to the population in the past dozen years, should the program purpose be modified to reflect new demands, needs and future directions for problem solving?

Is it time in the program aspects of adult education to move away from grade levels and move toward competency based educational thrusts?

Definitions

Sec. 303. As used in this title—

(a) The term "adult" means any individual who has attained the age of sixteen.

(b) The term "adult education" means services or instruction below the college level (as determined by the Commissioner), for adults who—

(1) do not have a certificate of graduation from a school providing secondary education and who have not achieved an equivalent level of education, and

(2) are not currently required to be enrolled in schools.

(c) The term "adult basic education" means adult education for adults whose inability to speak, read, or write the English language constitutes a substantial impairment of their ability to get or retain employment commensurate with their real ability, which is designed to help eliminate such inability and raise the level of education of such individuals with a view to making them less likely to become dependent on others, to improving their ability to benefit from occupational training and otherwise increasing their opportunities for more productive and profitable employment, and to making them better able to meet their adult responsibilities.

(d) The term "Commissioner" means the Commissioner of Education.

(e) The term "Community school program" is a program in which a public building, including but not limited to a public elementary or secondary school or a community or junior college, is used as a community center operated in conjunction with other groups in the community, community organizations, and local governmental agencies, to provide educational, recreational, cultural, and other related community services for the community that center serves in accordance with the needs, interests, and concerns of that community.

(f) The term "local educational agency" means a public board of education or other public authority legally constituted within a State for either administrative control or direction of public elementary or secondary schools in a city, county, township, school district, or other political subdivision of a State, or such combination of school districts or counties as are recognized in a State as an administrative agency for its public elementary or secondary schools, except that, if there is a separate board or other legally constituted local authority having administrative control and direction of adult education in public schools therein, such term means such other board or authority.

(g) The term "State" includes the District of Columbia, the Commonwealth of Puerto Rico and (except for the purposes of section 305(a)) Guam, American Samoa, the Trust Territory of the Pacific Islands, and the Virgin Islands.

(h) The term "State educational agency" means the State board of education or other agency or officer primarily responsible for the State supervision of public elementary and secondary schools, or if there is a separate State agency or officer primarily responsible for supervision of adult education in public schools then such agency or officer may be designated for the purpose of this title by the Governor or by State law. If no agency or officer qualifies under the preceding sentence, such term shall mean an appropriate agency or officer designated for the purposes of this title by the Governor.

(i) The term "academic education" means the theoretical, the liberal, the speculative, and classical subject matter found to compose the curriculum of the public secondary school.

(j) The term "institution of higher education" means any such institution as defined by section 801(a) of the Elementary and Secondary Education Act of 1965.

Issue

Definitions are cited for the purpose of clarifying their use within the language and framework of the legislation in which they are contained.

In many cases definitions are taken from other pieces of Federal education legislation and applied to new or amendment legislation.

As we amend and examine the Adult Education Act we must look at definitions as "direction setting," and "policy formulating" and as words that can significantly impact on those we serve or those giving the service.

What "terms" need clarificiation in the legislation and what terms not in the legislation should be included in order to provide clarity?

Grants to States for Adult Education

Sec. 304. The Commissioner is authorized to make grants to States, which have State plans approved by him under section 306 for the purpose of this section, to pay the Federal share of the cost of (1) the establishment or expansion of adult basic education programs to be carried out by local educational agencies and private nonprofit agencies, and (2) the establishment or expansion of adult education programs to be carried out by local educational agencies and private nonprofit agencies.

Issue

Is the "State Grant" process by the U.S. Commissioner the most economical and productive means for the distribution of Federal funds?

What are some alternatives? They may not be used -- they should be explored.

Allotment for Adult Education

Sec. 305. (a) From the sums available for purposes of section 304(b)2/ for the fiscal year ending June 30, 1972, and for any succeeding fiscal year, the Commissioner shall allot (1) not more than 1 per centum thereof among Guam, American Samoa, the Trust Territory of the Pacific Islands, and the Virgin Islands according to their respective needs for assistance under such section, and (2) $150,000 to each State. From the remainder of such sums he shall allot to each State an amount which bears the same ratio to such remainder as the number of adults who do not have a certificate of graduation from a school providing secondary education (or its equivalent) and who are not currently required to be enrolled in schools in such State bears to the number of such adults in all States. From the sums available for purposes of section 304(b)3/ for the fiscal year ending June 30, 1970, and the succeeding fiscal year, the Commissioner shall make allotments in accordance with section 305(a) of the Adult Education Act of 1966 as in effect on June 30, 1969.

(b) The portion of any State's allotment under subsection (a) for a fiscal year which the Commissioner determines will not be required, for the period such allotment is available, for carrying out the State plan approved under this title shall be available for reallotment from time to time, on such dates

2/ P.L. 93-380 repealed subsection 304(a) and redesignated subsection 304(b) as section 304.
3/ Ibid.

during such period as the Commissioner shall fix, to other States in proportion to the original allotments to such States under subsection (a) for such year, but with such proportionate amount for any of such other States being reduced to the extent it exceeds the sum which the Commissioner estimates such State needs and will be able to use for such period for carrying out its State plan approved under this title, and the total of such reductions shall be similarly reallotted among the States whose proportionate amounts are not so reduced. Any amount reallotted to a State under this subsection during a year shall be deemed part of its allotment under subsection (a) for such year.

Issue

Fiscal year dates must be changed.

Is the one per centum allotment for the outlying areas adequate?

Under sub-part (2), should a larger base be considered and the allotment formula based on "the number of adults. . ." etc. using census figures be modified?

Carry over provisions in (b) rather than reallotment is an issue.

What method of "Target Population" or head count or "demand population" might be used for distribution? Should enrollment and financial effort be a criteria for allotments?

By using the present method, part (2), those students over 16 years of age and still in school are counted in the calculations for the allotment formula.

State Plans

Sec. 306. (a) Any State desiring to receive its allotment of Federal funds for any grant under this title shall submit through its State educational agency a State plan. Such State plan shall be in such detail as the Commissioner deems necessary, and shall—

(1) set forth a program for the use of grants, in accordance with section 304(b)4/, which affords assurance of substantial progress with respect to all segments of the adult population, including institutionalized persons, and all areas of the State, toward carrying out the purposes of such section, That not to exceed 20 per centum of the funds used to carry out this Act for any fiscal year may be used for the education of institutionalized persons;

(2) provide for the administration of such plan by the State educational agency;

4/ Ibid., p. 3.

(3) provide for cooperative arrangements between the State educational agency and the State health authority authorizing the use of such health information and services for adults as may be available from such agencies and as may reasonably be necessary to enable them to benefit from the instruction provided pursuant to this title;

(4) provide for grants to public and private nonprofit agencies for special projects, teacher-training, and research;

(5) provide for cooperation with Community Action programs, Work Experience programs, VISTA, Work Study, and other programs relating to the antipoverty effort;

(6) provide for cooperation with manpower development and training programs and occupational education programs, and for coordination of programs carried on under this title with other programs, including reading improvement programs, designed to provide reading instruction for adults carried on by State and local agencies;

(7) provide that such agency will make available not to exceed 20 per centum of the State's allotment for programs of equivalency for a certificate of graduation from a secondary school;

(8) provide that such agency will make such reports to the Commissioner, in such form and containing such information, as may reasonably be necessary to enable the Commissioner to perform his duties under this title and will keep such records and afford such access thereto as the Commissioner finds necessary to assure the correctness and verification of such reports;

(9) provide such fiscal control and fund accounting procedures as may be necessary to assure proper disbursement of and accounting for Federal funds paid the State under this title (including such funds paid by the State to local educational agencies and private nonprofit agencies);

(10) provide that special emphasis be given to adult basic education programs except where such needs can be shown to have been met in the State;

(11) provide that special assistance be given to the needs of persons of limited English-speaking ability (as defined in section 703(a) of title VII of the Elementary and Secondary Education Act of 1965), by providing bilingual adult education programs in which instruction is given in English and, to the extent necessary to allow such persons to progress effectively through the adult education program, in the native language of such persons, carried out in coordination with programs of bilingual education assisted under such title VII and bilingual vocational education programs under the Vocational Education Act of 1963; and

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(12) provide such further information and assurances as the Commissioner may by regulation require.

(b) The Commissioner shall not finally disapprove any State plan submitted under this title, or any modification thereof, without first affording the State educational agency reasonable notice and opportunity for a hearing.

Issue

If the State Plan and subsequently the local plans are truly a planning document, perhaps they should be three or five year instruments with a letter of compliance or agreement each year.

There are two 20 per centum factors in Section 306 -- the institutionalized and secondary. Should these categories be removed?

Sub-part (4) has many of the same provisions as Section 309. Is it necessary to have both?

Cooperative agreements have generally been one-way agreements. How can these agreements be strengthened?

In sub-part (10) special emphasis is given to adult basic education. Is this a matter to be left to the agency responsible for the Act?

Payments

Sec. 307. (a) Except as provided in subsection (b), the Federal share of expenditures to carry out a State plan shall be paid from a State's allotment available for grants to such State. The Federal share for each State shall be 90 per centum, except that with respect to the Trust Territory of the Pacific Islands such Federal share shall be 100 per centum.

(b) No payment shall be made to any State from its allotment for any fiscal year unless the Commissioner finds that the amount available for expenditure by such State for adult education from non-Federal sources for such year will be not less than the amount expended for such purposes from such sources during the preceding fiscal year, but no State shall be required to use its funds to supplant any portion of the Federal share.

Issue

Several proposals have been made concerning a sliding scale.

Example:

Year	Federal Funds	State Funds
1979	90%	10%
1980	80%	20%
1981	60%	40%
1982	50%	50%
1983	40%	60%
1984	20%	80%
1985	10%	90%

The question is: What is the best payment and match method for a partnership program?

In sub-part (b) a change was made this past year. Should maintenance of effort be on an average of years -- a base year established or no maintenance requirement?

Operation of State Plans; Hearings and Judicial Review

Sec. 304.

This is general language which is "boiler plate" and has not been an issue.

Use of Funds for Special Experimental Demonstration Projects and Teacher Training

Sec. 309. Of the funds allotted to a State under section 305 for a fiscal year, not less than 10 per centum shall be used for--

(1) special projects which will be carried out in furtherance of the purposes of this title, and which--

(A) involve the use of innovative methods, including methods for educating persons of limited English-speaking ability, systems, materials, or programs which may have national significance or be of special value in promoting effective programs under this title, or

(B) involve programs of adult education, including education for persons of limited English-speaking ability, which are part of community school programs, carried out in cooperation with other Federal, federally assisted, State, or local programs which have unusual promise in promoting a comprehensive or coordinated approach to the problems of persons with educational deficiencies; and

(2) training persons engaged, or preparing to engage, as personnel in programs designed to carry out the purposes of this title.

Issue

P.L. 94-482 (October 1976) amended the Act in Section 309 and lowered the per centum from 15 to 10.

Should the per centum be modified further along with the "and" provision for training (professional staff development)?

There are no discretionary funds at the Federal or regional levels to address national or regional priorities. Should there be?

Are dissemination of 309 practices and research functions a part of Section 309?

State Advisory Councils

Sec. 310A. (a) Any State which receives assistance under this title may establish and maintain a State advisory council, or may designate and maintain an existing State advisory council, which shall be, or has been, appointed by the Governor or, in the case of a State in which members of the State board which governs the State education agency are elected (including election by the State legislature), by such board.

(b) (1) Such a State advisory council shall include as members persons who, by reason of experience or training, are knowledgeable in the field of adult education or who are officials of the State educational agency or of local educational agencies of that State, persons who are or have received adult educational services, and persons who are representative of the general public.

(2) Such a State advisory council, in accordance with regulations prescribed by the Commissioner, shall--

(A) advise the State educational agency on the development of, and policy matters arising in, the administration of the State plan approval pursuant to section 306;

(B) advise with respect to long-range planning and studies to evaluate adult education programs, services, and activities assisted under this Act; and

(C) prepare and submit to the State educational agency, and to the National Advisory Council on Adult Education established pursuant to section 311, an annual report of its recommendations, accompanied by such additional comments of the State educational agency as that agency deems appropriate.

(c) Upon the appointment of any such advisory council, the appointing authority under subsection (a) of this section shall inform the Commissioner of the establishment of, and membership of, its State advisory council. The Commissioner shall, upon receiving such information, certify that each such council is in compliance with the membership requirements set forth in subsection (b) (1) of this section.

(d) Each such State advisory council shall meet within thirty days after certification has been accepted by the Commissioner under subsection (c) of this section and select from among its membership a chairman. The time, place, and manner of subsequent meetings shall be provided by the rules of the State advisory council, except that such rules shall provide that each such council meet at least four times each year, including at least one public meeting at which the public is given the opportunity to express views concerning adult education.

(e) Each such State advisory council is authorized to obtain the services of such professional, technical, and clerical personnel as may be necessary to enable them to carry out their functions under this section.

Issue

There was no other single Section of the present Act which initiated more discussion than the Section on State Advisory Councils.

It is very important that sub-part B - Section 166.4 page 17954 of the Rules and Regulations along with Section 2.3 page 22221 of the Guidelines be read in order to fully understand the provisions of the Act in Section 310A.

Should Councils be required? Should Councils be funded? What should the membership composition be and who should appoint?

How effective are they or can they be?

National Advisory Council on Adult Education

Sec. 311. (a) The President shall appoint a National Advisory Council on Adult Education (hereinafter in this section referred to as the "Council").

(b) The Council shall consist of fifteen members who shall, to the extent possible, include persons knowledgeable in the field of adult education, State and local public school officials, and other persons having special knowledge and experience, or qualifications with respect to adult education, including education for persons of limited English-speaking ability in which instruction is given in English and, to the extent necessary to allow such persons to progress effectively through the adult education program, in the native language of such persons, and persons representative of the general public. The Council shall meet initially at the call of the Commissioner and elect from its number a chairman. The Council will thereafter meet at the call of the chairman, but not less often than twice a year. Subject to section 448(b) of the General Education Provisions Act, the Council shall continue to exist until July 1, 1978.

(c) The Council shall advise the Commissioner in the preparation of general regulations and with respect to policy matters arising in the administration of this title, including policies and procedures governing the approval of State plans under section 306 and policies to eliminate duplication, and to effectuate the coordination of programs under this title and other programs offering adult education activities and services.

(d) The Council shall review the administration and effectiveness of programs under this title, make recommendations with respect thereto, and make annual reports to the President of its findings and recommendations (including recommendations for changes in this title and other Federal laws relating to adult education activities and services). The President shall transmit each such report to the Congress together with his comments and recommendations. The Secretary of Health, Education, and Welfare shall coordinate the work of the Council with that of other related advisory councils.

Issue

Merged/Terminated?

Should geographical membership appointments take place?

Funding level and how funded?

Are there new responsibilities for the Council?

Limitation

Sec. 312.

This is general language which is "boiler plate."

Appropriations Authorized

Sec. 313. (a) There are authorized to be appropriated $160,000,000 for the fiscal year ending June 30, 1970, $200,000,000 for the fiscal year ending June 30, 1971, $225,000,000 for each of the fiscal years ending June 30, 1972, and June 30, 1973, $150,000,000 for each of the fiscal years ending June 30, 1974, and June 30, 1975, $175,000,000 for the fiscal year ending June 30, 1976, and $200,000,000 for each of the fiscal years ending June 30, 1977, and June 30, 1978: Provided, That, effective with respect to fiscal years after June 30, 1974, grants to each State under section 305 shall not be less than 90 per centum of the grants made to such State agencies in fiscal year 1973, for the purposes of this title (other than sections 310 and 314).

(b) There are further authorized to be appropriated for each such fiscal year such sums, not to exceed 5 per centum of the amount appropriated pursuant to subsection (a) for such year, as may be necessary to pay the cost of the administration and development of State plans, and other activities required pursuant to this title. For the fiscal year ending June 30, 1970 and the succeeding fiscal year, nothing in this subsection shall be construed to prohibit the use of any amounts appropriated pursuant to this Act to pay such costs, subject to such limitations as the Commissioner may prescribe.

Issue

Part (a) of Section 313 must be based and fully justified on an object classification method which takes into account "zero based budgeting" principles.

Sub-part (b) has been a restrictive section with the General Council interpretation of a 5% limit on administration. Should this sub-part be changed?

Special Populations

The Adult Education Act makes provisions for:

- Special Projects for the Elderly (Section 310)
- Improvement of Educational Opportunities for Adult Indians (Section 314)
- Emergency Adult Education Program for Indochina Refugees (Section 315).

These special populations and others need examination as parts or sub-parts of the present Act along with, but not limited to, bilingual programs, handicapped and institutionalized.

New Sections

What are the new special needs?

Recently, May 22-24, 1977, the Council called together a selected group of previous participants from the regional legislative review meetings, and discussed the issues raised on each section of the present Adult Education Act. Recommendations on each section were made to the Council, and then each section of the present Act was ranked in terms of priority for needed change.

The following is the rank order of concern for each section, and a general recommendation for review by this Congressional Committee.

Section 306. State Plan

The State Plan should not be an annual program plan. The program plan should be of longer duration. The plan should serve as a master planning document with a letter of compliance or agreement submitted each year.

Provisions for special projects, teacher training, and research should be retained.

Special populations should be addressed in the state plan. Such populations include but are not limited to: bilingual; handicapped; migrant; native Americans; the elderly; rural; poverty populations; minorities; urban; women; institutionalized; the under and unemployed.

Section 304. Grants to States for Adult Education

The state grant process must be retained. A viable working system is in place to state education agencies.

The use of census figures for grant allotment purposes is an inadequate method of making grants to states.

An individual local project basis for grants should not be implemented.

Section 307. Payments

The Federal commitment should not be less than 90/10. A sliding scale (annual) of Federal, state funds is not sound.

The maintenance of effort should be maintained on an average of five years.

Section 309. Use of Funds for Special Experimental Demonstration Projects and Teacher Training

The 309 provision should remain in the legislation with a requirement for professional staff development research.

Dissemination and diffusion must be a priority for, and a requirement of 309 projects.

The "not less than 10%" factor should be retained.

Federal funds should be made available (USOE) over and above the state grant program as a special line item for addressing national issues, problems, and priorities.

Section 313(a). Appropriations Authorized

The initial funding year for an amended Act should begin at a $200 million level with annual increments increased using zero-based budgeting methods.

Section 313A. State Advisory Councils

State Advisory Councils should be a "MAY" provision of this section. A separate line item in the appropriation section should provide funds to those states electing to implement the Advisory Council process.

The law should not provide for the specific composition of the Council and the appointment authority.

Section 302. Statement of Purpose

The primary purpose of the Act as presently stated should be maintained and not expanded beyond an ABE/Secondary responsibility. Grade level reference should be eliminated and the purpose reflect a competency-based program geared to individual needs.

Reference to employment and a means to secure training should be minimized. The mastery of basic skills should be emphasized.

Section 313(b). Appropriations Authorized (Administration Funds)

The Act should reflect a dollar-for-dollar matching provision for state administration.

Advance funding should be retained.

Section 301. Short Title

The title of the Act should be cited as the "Adult Education Act."

Section 305. Allotment for Adult Education

The base should remain at $150,000 for each state plus the 1% factor for the territories.

The reallotment language should be maintained.

Section 303. Definitions

The definitions for adult, adult education, and adult basic education should be retained with clarification for competency-based education.

Age sixteen should be the minimum age level for participant eligibility.

The Adult Education Act should reflect the establishment and operation of bilingual educational practices, techniques, and methods rather than a requirement for separate bilingual programs.

Section 311. National Advisory Council on Adult Education

There should be a separate line item appropriation for the Council.

Membership on the Council should reflect representation of each of the ten Department of Health, Education, and Welfare regions with five members appointed "at large."

Section 311(d) should have a line item provision in order to carry out the evaluation and review process required by Congress.

Special Populations

A new section should be developed which provides categorical aid for special populations.

Section 309A. Clearinghouse

A clearinghouse should be established and adequately funded.

A line item category in the appropriation is necessary for the establishment and operation of a clearinghouse.

In addition to nine legislative hearing sessions (Futures and Amendments), the Council conducted a state-by-state survey on the status of state legislation, school codes, and organizational provisions which impact on the education of adults. The statistical data from this survey will be available to the Congress in the Council's Section II Report which will be released this fall.

Accompanying this testimony is a copy of the Council's 1977 Report (Section I) which highlights the Council's activities this past year, and explains the various processes used to stimulate dialogue on next steps for legislation by the Congress.

The Council recommends that the Congress, and in particular this Subcommittee, use the expertise of the National Advisory Council on Adult Education as new approaches in adult education legislation are developed.

National Advisory Council on Adult Education
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Dr. EYRE. The testimony is broken into two parts. I think you will find it very helpful in your deliberations because the first 12 pages take the existing sections of the law and raises the various legislative issues as to those sections: should we have this or that formula; should we change from grade levels to competency-based legislation. Those are outlined for you and your Committee in the first 12 pages. From page 13 on, we have prioritized those by section. For example, Section 306 is deemed by the people in the Council who have had various meetings, to be most important.

Then we give you some alternatives there for your consideration in these various sections.

Also accompanying the testimony is a document called "The National Advisory Council on Adult Education, 1977."

Starting in this document on page 11, you will note an outline of the futures and amendments process and the State-by-State survey process which the Council is going through— in fact, we have completed it—to ascertain what the practitioner in the field is expressing relative to amending the Adult Education Act.

I would sincerely hope that you have an opportunity to examine the issues as we have outlined them and to look at the process of involvement which your National Advisory Council has gone through in concert with these gentlemen here and the Office of Education to try to determine the next steps for you to examine in terms of H.R. 15.

[The document referred to follows:]

NATIONAL ADVISORY COUNCIL ON ADULT EDUCATION

1977

National Advisory Council on Adult Education

As mandated in the Adult Education Act (P.L. 91-230 as amended)

Sec. 311 (a) The President shall appoint a National Advisory Council on Adult Education (hereinafter in this section referred to as the "Council").

(b) The Council shall consist of fifteen members who shall, to the extent possible, include persons knowledgeable in the field of adult education, State and local public school officials, and other persons having special knowledge and experience, or qualifications with respect to adult education, including education for persons of limited English-speaking ability in which instruction is given in English and, to the extent necessary to allow such persons to progress effectively through the adult education program, in the native language of such persons, and persons representative of the general public. The Council shall meet initially at the call of the Commissioner and elect from its number a chairman. The Council will thereafter meet at the call of the Chairman, but not less often than twice a year. Subject to section 448(b) of the General Education Provisions Act, the Council shall continue to exist until July 1, 1978.

(c) The Council shall advise the Commissioner in the preparation of general regulations and with respect to policy matters arising in the administration of this title, including policies and procedures governing the approval of State plans under section 306 and policies to eliminate duplication, and to effectuate the coordination of programs under this title and other programs offering adult education activities and services.

(d) The Council shall review the administration and effectiveness of programs under this title, make recommendations with respect thereto, and make annual reports to the President of its findings and recommendations (including recommendations for changes in this title and other Federal laws relating to adult education activities and services). The President shall transmit each such report to the Congress together with his comments and recommendations. The Secretary of Health, Education and Welfare shall coordinate the work of the Council with that of other related advisory councils.

This report is published under provisions of the Adult Education Act and the Federal Advisory Committee Act.

National Advisory Council on Adult Education, 1977

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Foreword

Mrs. Lyndon B. Johnson

Often, my husband voiced the hope that he would be remembered as the "Education President." Throughout his life he believed that people everywhere should be free to develop their talents to their full potential, unhampered by arbitrary barriers of race or birth or income. He called this the "fifth freedom": freedom from ignorance.

As President of the United States, he embraced the opportunity to put that belief to work by guaranteeing this freedom through the Economic Opportunity Act of 1964. Today as we pause to note and remember this momentous piece of legislation, I think Lyndon would have been deeply proud of its effects on adult education.

Across the land, adult education is providing avenues which lead to better lives, enabling an increasing number of Americans to cope with an increasingly more complex society. The drop in the illiteracy rate is at least partly the result of more adults breaking the bonds of ignorance each year as they seek and find fulfilling learning experiences.

For those of you involved now in the field of adult education, I think you will find special meaning in Lyndon's words, "For a nation, as for an individual, education is always an unfinished journey, a continuing process of discovery." I wish you well as you continue to value and enrich our most precious resource, the minds and boundless potential of our people.

Lady Bird Johnson

Former First Lady Claudia ("Lady Bird") Johnson has maintained a long and active involvement with humanitarian causes, among them education, its programs and institutions. She has served as a member of the University of Texas System Board of Regents, as honorary chairman of the National Head Start Program and is a member of the National Geographic Society's Board of Trustees. In 1971 she received the nation's highest civilian award, the Medal of Freedom.

An Introduction

Mary A. Grefe, Chairman

Beyond the Verge

"America is . . . on the verge of becoming truly a 'learning society'. . . .

"Adult education in many forms—public and private, formal and informal, for pleasure and for profit—nowadays touches the lives of nearly half the adult population at one time or another. . . .

". . . universal education is far closer of achievement than it has ever been, anywhere in the world. . . . it has made a major contribution—perhaps the major contribution—to keeping our democratic principles and institutions strong and vibrant."

Stanley Elam, "Toward 'A Learning Society'," in *A Nation of Learners*, Leroy V. Goodman (ed.) p. 196

In 1970, the Congress of the United States passed legislation that established a National Advisory Council on Adult Education (NACAE). The Council's responsibilities include advising the Commissioner of Education on matters of policy as well as reviewing "the administration and effectiveness" of programs under the Adult Education Act and making "recommendations with respect thereto." The Council is also charged with preparing and submitting "annual reports to the President of its findings and recommendations (including recommendations for changes in this title and other Federal laws relating to adult education activities and services)." Compliance with that latter obligation is the purpose of this report.

The National Advisory Council on Adult Education, as the Adult Education Act itself, is guided by a very simple premise. That premise is that popular democracy and education in the United States are inseparable. Liberty and equality for every human being—without regard to age, race, color, creed or sex—are touchstones of popular democracy, in social, economic and political terms. Attainment of the ideals of liberty and equality presupposes educational opportunity as an essential ingredient *of* and a necessary condition *for* democracy, for educational opportunity provides access to the avenues leading to social, economic, and political freedom. Therefore, to the Council, a system of education that is as universal as the franchise itself and that continues throughout every individual's lifetime is a national imperative.

In accord with valid educational theory, the Council's work assumes that universal education requires the learner's meaningful participation and involvement. Indeed, only through actual participation in a process can education take place. Thus, to learn to live with political freedom as competent

and responsible citizens, the populace must actually participate in the functioning of government.

John Stuart Mill, in his classic study on *Representative Government* defines the best form of government as that wherewunder the "sovereignty, or supreme controlling power in the last resort, is vested in the entire aggregate of the community, every citizen not only having a voice in the exercise of that ultimate sovereignty, but being, at least occasionally, called upon to take an actual part in the government, by the personal discharge of some public function.

". . . any participation, even the smallest function, is useful . . . the participation should everywhere be as great as the general degree of improvement the community will allow."

The National Advisory Council on Adult Education, given its ultimate concern for popular democracy, serves two functions. First, it seeks to remedy educational disadvantage through the improvement and expansion of opportunity for adult education. Second, it seeks to support and motivate professionals in adult education to accept the challenge of providing "a new beginning" for adults; vouchsafing to each adult the right to develop requisite skills to become better workers, better parents and homemakers, better users of leisure time. Adult education is also challenged to provide programs that enable adults to make successful adjustments to aging and acquire the basic competencies attending that adjustment.

Over the years in which the Adult Education Act has been in effect, there have been enormous gains in adult education. For instance, the number of illiterate adults reported in the 1960 census has been significantly reduced during this past decade. The median years of school completed is now over 12 years and the success ratio of adult education is twice that of elementary and secondary. And adult education is the fastest growing branch of the educational system in the U.S. with 32 million enrollees each year.

Despite obvious gains, problems remain; the task is unfinished. The 1970 census found 54.3 million adults 16 years and older who were not required to be enrolled in school and who had not completed their high school education. Of these 54.3 million Americans, only 24 million were gainfully employed (20.7 million full-time). Twelve and one-half million adults earned less than $5,000 per year.

The Adult Performance Level (APL) Study, sponsored by the Office of Education's Adult Education Division, found that in 1976 one out of five American adults lacked the skills and knowledge needed to function effectively, and another 33.9 percent are but marginally competent. Further, according to the study, less than half of all Americans function with any degree of real competence. The link between unemployment and the lack of basic educational skills is, we believe, self-evident. The goal of universal adult education remains an

urgent need; half competency is not an acceptable achievement.

The Council in its role as a liaison between the Federal government and the public, engages in an ongoing dialogue, not only with the Executive and Legislative Branches and the U.S. Office of Education but with myriad adult education agencies, institutions and organizations at the state, regional, and national level, private, voluntary organizations, other advisory groups, adult education practitioners, business and industry, and concerned private citizens. This process entails the Council's participation and involvement in local, state, regional, and national education conferences and conventions; symposiums, mayors' and governors' conferences; education workshops, and seminars; and local program visitations.

SURVEY OF COUNCIL HISTORY

The Council's roots date from the Economic Opportunity Act of 1964. With the passage of that Act, the Adult Basic Education (ABE) program was established, and sought to remedy the inequities of educational disadvantage by offering persons 18 years of age and older the opportunity to develop reading, writing, language and arithmetic skills to "enable them to obtain or retain employment and otherwise participate more fully as productive responsible citizens."

Later, amendments to the Elementary and Secondary Education Act (ESEA) in 1966 and 1968 provided a separate title, further expanding the adult education thrust. Under this legislation, funds became available to assist state and local education agencies meet the costs of instruction, employ and train qualified adult educators, and develop specialized curricula and techniques appropriate for adult learners.

In January 1968, a seven-member Adult Basic Education National Advisory Committee was appointed with the U.S. Commissioner of Education as Chairman. The Committee had one area of concern: adult basic education; particularly, they were charged to review the administration and effectiveness of adult education programs as they related to ABE.

In 1970, the ESEA legislation, including the Adult Education Act, was again amended. The ABE Advisory Committee was terminated and Congress, after a series of public hearings, established a National Advisory Council on Adult Education (NACAE), whose members would be appointed by the President. The act creating it expires in 1978.

COUNCIL METHODS

In 1972, the Council's first Annual Report, including its recommendations, was transmitted to the President and, ultimately, was distributed to the Congress, the Departments of the Executive Branch, and to the education

community. During its first year, the Council reported that it held eight full Council meetings in several locations across the nation; members attended local, state, regional, and national conferences, and convened a gathering of the directors of national organizations to discuss adult education problems and solutions.

Since the Council's inception, program visitations have provided it an observation post for state and local adult education programs, and at the same time these visits provide adult education professionals increased awareness of and contact with the Council and its activities. This effective, two-way method of communication is still in use by the Council.

Another responsibility of the Council is research. Projects undertaken under that heading have provided an examination and critique of teacher training in adult education; a synopsis of Federal adult education laws/activities; and the compilation of a "glossary" of national adult education associations and voluntary organizations. The identification of several funding and program problems requiring the attention of and action by the Executive and Legislative Branches has resulted from these research explorations.

In fulfilling its obligation to make recommendations to the President, the Congress and the Commissioner of Education, the Council and its predecessors have also contributed to the shape of national policy and legislation. Growing out of such recommendations have been

—the first steps toward consolidation of all Federal adult education services under one agency;

—the development of career-oriented education for adults;

—the expansion of adult education programs in correctional institutions;

—the growth of education programs for senior citizens.

In 1973, for example, when the Adult Education Act was due to expire, the Council's recommendations were instrumental in the passage of an expanded and more comprehensive Adult Education Act, including funding for programs and support services among American Indians and institutionalized persons; broader programming for the educationally disadvantaged; and the design and implementation of career education models.

The Education Amendments of 1974 also reflect many of the Council's recommendations. The content of state plans was broadened to provide experimental, demonstration and teacher-training projects; state advisory councils on adult education were suggested; a clearinghouse on adult education was authorized; and the composition of the Council was revised to assure the participation of persons with special knowledge and experience in educating adults with limited facility in the English language.

Resource materials, of value to the Executive and Legislative branches

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and to education administrators in state and local government, have been another by-product of Council activity. From a study undertaken in 1974 came the 1975 report to the President titled, "A Target Population in Adult Education," which brought into focus the special educational needs of the nation's adult population.

In 1976 the Council completed a study and published a position paper on a "National Clearinghouse on Adult Education" and in late 1975 a paper on "The Roles and Responsibilities of Adult Education within Parent/Early Childhood Education." Also published was the Council's survey of "State Advisory Councils in Adult Education," and "An Historical Perspective: the Adult Education Act 1964-1974." These publications continue to have reference value beyond the immediate circumstances that caused them to be published.

THE PAST YEAR IN REVIEW

Near the beginning of the Council's activities for the year 1976-1977, a statement of mission was developed that sought to delineate those purposes and priorities the Council would pursue. That statement committed NACAE as follows:

Purpose

The National Advisory Council on Adult Education will:

—Address adult education issues from the standpoint of client advocacy.

—Lend our efforts toward making adult education a national priority.

—Maintain and improve professional and working relationships with the Deputy Commissioner for Occupational and Adult Education and, in particular, the Division of Adult Education.

—React to current and proposed legislation which has ramifications for adult education.

—Continue to evaluate the policies and directions of the Council.

—Review the administration and effectiveness of programs under the Adult Education Act, make annual reports to the President concerning findings, recommendations and policies which relate to adult education activities and services, in compliance with Section 311(d) of the Adult Education Act.

Priorities

The National Advisory Council on Adult Education seeks:

—To establish working relationships with other Presidential and Secretarial Advisory Councils in the U.S. Office of Education, and the Department of Health, Education and Welfare (HEW).

—To develop a position paper on lifelong learning, including an examination of thrusts in community education and delivery systems in adult education that deliver more than basic education.

—To initiate dialogue with the Department of Labor, Comprehensive Employment Training Act (CETA) officials, and Action Volunteers to determine where their efforts and those of adult education can better be coordinated.

—To survey and analyze how the roles and policies of the various levels of government including state legislation and state/local expenditures affect adult education services at the state level.

—To provide for the inclusion of representatives from business, industry and the military on Council agendas.

—To encourage professional education organizations with adult education components to seek representation from the Council on their program agendas.

—To identify policy issues which affect bilingual adult education, and to advise the President on future policies affecting bilingual education and adults.

—To ensure that adult education programs meet the special needs of handicapped adults.

—To encourage and support adult education programs which assist various members of the family unit to understand more fully their educational roles in the lives of children within that unit.

—To establish a working relationship with the National Advisory Council on Indian Education and the Bureau of Indian Affairs in order to better understand the problems and concerns that have impact on Indian adult education programs.

—To encourage the National Institute of Education to continue to support adult education efforts and inform the profession and the Council of its activities.

—To involve more fully in Council activities persons of diverse backgrounds and cultures.

—To enlist the cooperation of communications media in providing the public with information about adult education.

—To continue to support international adult education activities which relate to the legislative mandate and the mission of the Council.

—To encourage and support adult education opportunities for older Americans.

Although not all of its aims have been brought to full fruition, some measure of the Council's faithfulness to its mission may be inferred from a summary of the year's highlights:

Council Accomplishments

—Conducted a comprehensive national survey of state support of adult education including analysis of existing state constitutional provisions, legislation, funding patterns and program growth since 1967.

—Conducted a series of eight regional "Futures & Amendments" meetings for the purpose of obtaining data from the field pertaining to future legislation and in order that the Council's recommendations for improving the existing adult education act might be more broadly representative.

—In concert with White House staff, arranged a "Tuesday at the White House" meeting on adult education. This session, in May 1976, brought together leaders in the fields of education, business, industry and government to discuss with White House representatives, the Secretary of Health, Education, and Welfare,

and the Council major issues and concerns in adult learning.

—Published a Record of House-Senate Education Funding.

—Published a History of Adult Education Legislation.

—Published an Annual Report to the President and Congress.

—Adopted a Council Affirmative Action Plan.

—Adopted a UNESCO Resolution supporting Adult Education

—Initiated a working relationship with the Organization of American States.

—Made recommendations relating to concepts for lifelong learning to be incorporated into the Wingspread Conference.

LOOKING AHEAD

Last year, in its Annual Report the Council noted that

> Adult education, like every other social institution in America, has responded to the forces of change by growing bigger: more programs, more staff, more clients, more variety, more people served. The demands made by growth have left little time and energy for contemplation or for articulation of a national policy. The consequences of unplanned and unpositioned growth were of little importance in a nation of abundant resources and boundless vigor. But as we enter our third century, our energy and resources have been thinned by the multitude of demands made upon them. We can no longer afford the human and financial wastefulness that results from duplication of effort and ill-conceived programming. There is an urgent need for this nation to take some moments from the tasks of doing, building, and growing to reflect upon what has been created.

With the authority for the present legislation coming to an end, the Council believes we have arrived at a particularly opportune time for reflection. This can be an invaluable period for taking stock of the whole adult education enterprise, a time for evaluating the worth of efforts that have been expended, a time for assessing where adult education has been, where it now is, and where it is going.

The Council, therefore, enthusiastically supports the President's proposal for a one-year extension of the Adult Education Act. Given that extension, the Council can continue acting as a catalytic agent, working to bring together concerned parties representing all persuasions and professional disciplines that operate in the area of adult education. Such a forum will provide a healthful environment for creative thinking and planning, from which recommendations for future courses of action and legislation ideally will come.

The Council would hope that successor legislation to the present Adult Education Act and its amendments will move the nation from the verge of becoming to *being* truly a learning society, thereby sustaining and enhancing education's historic contribution to the strength and vibrancy of our democratic principles and institutions.

From the Executive Director

Gary A. Eyre

From its inception, the National Advisory Council on Adult Education has deemed it sound policy to utilize an Executive Director as its senior administrator. With that post goes the day-to-day responsibility for the conduct of Council affairs. Because Council members believe that administration is the art of "getting things done," the Executive Director is further charged with aiding in the development of policy and with providing staff leadership in the implementation of Council-approved programs and projects.

That charge creates a very active—sometimes near-hectic, but always stimulating—administrative operation. Indeed, the Council office is in many ways comparable to a military command post, situated virtually at the frontline in the nation's continuing battle to assure functional and fulfilling literacy to the adult population.

To continue the battleground metaphor, at this command post no day is typical. "Getting things done" calls for being flexible—responding promptly to the exigencies of unexpected situations while still performing more routine tasks within a framework of established priorities.

Under the rubric of "getting things done," the usual work days, weeks, and months of any Council year will find the Executive Director and staff grappling with such widely varied imperatives as:

—Collecting data upon which decisions, recommendations and policy will be based

—Arranging hearings, meetings and conferences

—Examining wide-ranging social developments to determine their implications for adult education

—Interpreting Federal policies that pertain to the needs of adult learners

—Analyzing the body of legislation bearing on adult, continuing, and community education

—Translating educational manpower data into possible program action

—Serving as the ever-accessible link between the Council, HEW regional offices, states and local practitioners.

While the above is far from a conclusive itemization of the functions of the Executive Director's office, it is suggestive of the scope of the challenges it confronts.

The past year has been typically atypical. With the current Federal Adult Education Act due to expire in 1978, the Council gave top priority to its mandated assessment of "the administration and effectiveness of programs under that title." For that purpose, the Council determined to hold a series of regional meetings, called "Futures and Amendments Meetings," (described on p. 11) to ascertain the needs perceived and the directions suggested by a cross-section of adult education practitioners.

Concurrently, a "Survey of State Support of Adult Education" was undertaken to determine the partnership and growth of adult education in each of the 50 states, the District of Columbia and the territories

since the allocation of Federal funds in 1965. This survey sought to discover data in numerous areas, including:

1. State constitutional provisions impacting on adult education
2. Current state adult education legislation
3. Past state legislation in operation or available but not being utilized
4. The state and local projection for the financing of adult education in school year 1977
5. State funds which are currently being expended on the Federal match
6. State estimated cost per student year (1976 school year)
7. The adult education target and/or demand population
8. The number of students served in all state Adult Basic Education and General Education Development programs in school year 1976
9. The process and timetable for the distribution of Federal and state monies to local educational agencies
10. The organizational structure of each department of education which may include the unit serving adult education
11. State board of education policies having impact on adult education
12. Policies on teacher certification
13. Adult education teacher salaries per hour
14. Federal, state, and local financial levels for the school years 1967, 1970, 1974 and 1976 for ABE and GED
15. The state economy in relation to population flow, and the state's total budget for education.

(Details of the survey and an analysis of findings appear in Section II.)

Implementation and coordination of both projects—the Futures & Amendments Meetings and the State Survey—were the responsibility of the Executive Director and the staff.

Now, although the Executive Director and the staff may (and do) point with pride to the successful completion of these projects, they must forego taking a recess to bask in the glory of accomplishment. Rather, the staff must now move on to other organcies, for we have enlisted "for the duration" —that is, until illiteracy has been vanquished.

"Getting things done" has called into play the full gamut of personal and professional resources brought to their tasks by all who have been privileged to serve on or with the Council. I therefore welcome this opportunity to express my deep gratitude and appreciation to my colleagues on the staff for their supportive assistance, their positive attitudes and their dedication. I am also indebted to the Council members for the leadership and inspiration they have so generously provided. They have afforded me and the staff the incomparable enjoyment of being "where the action is" in adult education.

Futures and Amendments Meetings

The legislative mandate of the National Advisory Council on Adult Education includes making recommendations to the President for changes in the Adult Education Act and other Federal laws relating to adult education activities and services. In the process of formulating its recommendations, the Council tries to obtain input from the broadest possible spectrum of adult education practitioners, researchers, administrators and students. Information from these sources constitutes an invaluable data base, integral to the formulation of valid recommendations for Federal laws and policy.

Anticipating the imminent expiration of the present Adult Education Act and desirous of making comprehensively informed recommendations for new laws and/or amendments, the Council in early 1976 determined to gather data from all sections of the nation from the most knowledgeable participants associated with adult education. To accomplish that goal, the Council decided that a series of public meetings would be the mechanism employed for collecting two distinct types of data:

Amendments Meetings
Meetings in this category were designed to bring people together to discuss possible changes in the existing Adult Education Act in order that

—the delivery of services

—administrative efficiency and economy

—operational impact of programs, and

—the return on investments of Federal and state funds in adult education programs might be improved.

Futures Meetings
Meetings were designed to bring people together to discuss their visions and dreams—their concepts of what, ideally, the status, programs and results of adult learning in America should be ten or more years hence; and the perceptions of the role the Federal government might best play in the attainment of these ideals was also to be discussed.

These meetings would come to be called "Futures & Amendments" meetings.

The meetings were structured to permit the two sections—one on Amendments, one on Futures—to be convened concurrently in a designated region. Each meeting was scheduled to allow one and a half days of intense dialogue. Approximately 20 persons were invited to participate in each section. However, overall attendance at the meetings averaged nearly 50 participants because former Council members residing in the region along with program officers from regional U.S. Offices of Education would also attend.

Invitations to the regional meetings were based on recommendations from chief state school officers from the states and state directors of adult education (who, themselves, were invited). Diligent effort was expended on assembling persons who might best represent their states in one of the sections. Mainly, the participants were persons with a wide range of experience in business, industry, labor, state and municipal government as well as adult education professionals and others knowledgeable in the field of adult learning. Serving as facilitators for the meetings were the Council Chairman, Council members from the region and personnel from the Council office.

Data Base

In general the Futures & Amendments Meetings sought answers to such questions as:

- What role should the Federal government play in support of adult education programs? In support of adult education research?
- What changes could and/or should be made in the existing legislation to
  - —increase administrative efficiency
  - —facilitate increased state support of and commitment to adult education
  - —improve the delivery of adult education programs/services
  - —facilitate increased administrator/teacher competencies?
- What types of coordination and cooperative partnership activities between the Federal, state and municipal agencies might be facilitated by the Federal government?
- What types of new legislation should be developed? To reach what objectives?

Between April 22, 1976, and March 22, 1977, eight Futures & Amendments Meetings were held. Meetings scheduled for 1976-1977 were held on the dates and in the regions shown below:

April 22-23, 1976
Washington, District of Columbia
May 3-4, 1976
Washington, District of Columbia
September 13-14, 1976
Indianapolis, Indiana
September 16-17, 1976
Denver, Colorado
October 27-28, 1976
Boston, Massachusetts
November 29-30, 1976
San Francisco, California
December 6-7, 1976
Houston, Texas
March 21-22, 1977
Washington, District of Columbia

The final meeting with a national rather than regional emphasis was conducted in Kansas City, Missouri, on May 22-24, 1977.

Survey of State Support of Adult Education

During the summer of 1976, in preparation for the development of recommendations concerning new or modified Federal adult education legislation, the Council contacted various national education agencies and organizations. Essentially, these contacts were intended to determine the availability of information on state financial support for adult education, state constitutional provisions, statutes and school codes which impact on adult learners, and the organizational structures of state education agencies.

It soon became apparent that data in the form needed by the Council to assist in the development of legislative recommendations had not been compiled. Thus on August 16, 1976, at the Council's meeting in Des Moines, Iowa, a "Prospectus for a Survey of State Support of Adult Education" was discussed and the implementation of a survey approved. (For the purpose of this survey, adult education has been defined as any planned/structured learning experience for persons aged sixteen or over who do not have a certificate of graduation from a school providing secondary education, who have not achieved at least that level of education, and are not required to be in school.) The study, undertaken by the staff of the Council, has yielded information on the status of support for adult education in every state. It also has permitted the identification of possible trends of state commitment in relation to the application of Federal funds for adult education.

Since September 1976 each state agency responsible for administering the adult education/state grant program has completed the Council's special survey instrument. Among topic areas targeted in the survey were:

—Organizational Structure of State Departments of Education

—Constitutional Provisions for Adult Education

—State Adult Education Legislation and Policy

—State Adult Education Descriptors

—Financial Information

—Economic Indicators

Details, an analysis, graphic materials and recommendations derived from the survey appear in Section II.

Program Visitations

The National Advisory Council on Adult Education (NACAE), of necessity, is a highly mobile body. In order to provide national coverage of regional, state, and local adult education programs; to increase public and professional awareness of the Council and its activities, and to facilitate the Council members' exposure to and communication with various regional, state, and local adult education programs, members travel (in and beyond their home states) within the HEW region in which they live.

In each of the ten U.S. Office of Education (USOE) regions, a Council member is assigned to serve as a link between Federal, state and their local education programs. The on-the-scene presence of Council members fosters meaningful communication between the USOE regional offices, and those associations, agencies, and organizations having a responsibility for adult education or a stated interest in educational programs. These visits also permit Council members to gain, firsthand, insight into many aspects of adult education and reports from these visits often become primary sources of information, aiding the Council to take action and develop recommendations.

In the program visitation process, the Council member's major function is to observe; the visit is exploratory, not judgmental. The visiting Council member is alert, however, to concerns that are voiced and to issues related to adult education raised by the host agency or participants in the visited activity. Such issues and concerns are reflected in the member's report and are analyzed and discussed at subsequent Council meetings.

Since January of 1976, Council members have, frequently at the request of adult educators, made 46 visitations, thereby providing continuity of contact in each of the ten USOE regions.

In 1977, between January and April alone, Council members have visited conferences, symposia and workshops in nine states: Arizona, Florida, Kansas, Massachusetts, Michigan, Missouri, Nevada, Virginia and Wisconsin.

The scope of dominant themes at these gatherings may be inferred from random listing of the topics explored:

"A New Look at ABE (Adult Basic Education)"

"Programming Around Adult Life-Cycle Change"

"Educational Models for Adult Education Developed by Civilian Schools for Armed Forces Personnel"

"State Commitment to Adult Education"

"State Planning for Lifelong Learning: Improving Access for All Citizens"

"54 Million Adults with Less than a High School Diploma: National Challenge"

"Adult Education Programs: Why Have Them?"

"The Role of Community Education in Implementing the Nation's Problem-Solving Agenda"

"Recruiting Bilingual Adult Students"

"Continuing Education, Manpower Policy and Lifelong Learning."

During these visits, Council members have played a variety of roles, ranging from delivering keynote addresses and leading—or participating in—panel discussions to merely observing the proceedings for the benefit of the Council. The principal value of the visitations, regardless of the Council representatives' degree of formal involvement, rests in the opportunities for new and ongoing dialogue with other citizens who are also concerned with meeting national objectives for the provision of unobstructed access to education for all Americans.

Meeting Dates, Sites and Content 1976/1977

January 22-24, 1976
New Orleans, Louisiana

- Career Education
- Lifelong Learning
- Federal Rules and Regulations
- Adult Performance Level (APL) Project
- State Directors' Panel
- State Advisory Council Panel
- Legislative History
- Regional Program Officer's Report
- High School Completion Programs
- Political Party Platform Statements
- Policy Development Project

March 10-13, 1976
Los Angeles, California

- Federal Appropriations
- Block Grants/Categorical Aid
- Regional Program Officer's Report
- Los Angeles Area Program Visitations
- Los Angeles Unified School District Board Meeting
- 311(d) Evaluation Project
- Affirmative Action
- White House Meeting—Adult Education
- State Grant Appropriation Levels
- Adult Education Definition
- Organizational Relationships

May 20-22, 1976
Washington, D.C.

- White House Meeting and Luncheon
- Study on Status of Minorities
- UNESCO Adult Education
- Adult Education International Conference
- Amendments and Future Meetings
- Council Budgets
- Full Funding of State Grant Programs
- National Opinion Poll
- Joint Meetings with Other Presidential Councils
- ESEA Block Grant Legislation
- Election of Council Officers

August 15-16, 1976
Des Moines, Iowa

- Council Issues and Priorities
- Regional Program Officer's Report
- State Directors' Panel
- Iowa Adult Education Delivery System
- State Adult Education Legislation Survey
- Wingspread Conference
- International Adult Education
- Financial Issues for Transition Quarter
- Video Tape Presentation—GED
- USOE/Bureau of Occupational and Adult Education (BOAE) Priorities

October 1-2, 1976
Arlington, Virginia

Adult Indochinese Refugee Programs

Adult Education Clearinghouse

Lifelong Learning Conferences

Executive Directors' Workshop—White House

State Program Plans, FY-77

Management Evaluation Review for Compliance

International Council for Adult Education

UNESCO Draft Recommendation

Competency Based Adult Education—Adult Competency Test (ACT)

Orientation Procedures

HEW Reaction to 1976 Annual Report

November 17-18, 1976
New York, New York

National Conference/Adult Education Association (AEA/USA)—National Association for Public Continuing and Adult Education (NAPCAE)

HEW Secretarial Rules and Regulations

Psychological and Social Needs of the Adult Student

State Directors' Meeting

Urban Administrators' Meeting

American College Testing APL Meeting

1977 Council Report

Policy and Action Imperatives for Lifelong Learning

Coordination Activities with Administration on Aging

Adult Education Lifelong Learning (ADELL)/Educational Resources Information Center (ERIC) Clearinghouse

Program Visitation Reports

January 24-26, 1977
Washington, D.C.

Orientation/Oath of Office Ceremonies—New Members

Council Priorities and Committee Assignments

Federal Supplemental Appropriations

National Right to Read and Reading Academy Program

Association Legislative Thrusts

Committee on Full Funding for Education Programs

The Presidential Education Budgets

President Carter Appointments—Education

Higher Education Act

Office of Management and Budget (OMB) Clearinghouse on 311(d) Evaluation Project

Adult Education Promotional Materials

April 4-5, 1977
Phoenix, Arizona

National ABE Commission Conference

Indian Education Issues

Renewal Evaluation Report

Adult Education Terminology Project —National Center for Education Statistics (NCES)

Regional Program Officer's Report

National Futures and Amendments Conference

Presidential and Secretarial Chairmen's Meeting

Adult Education Policies and Issues Workshop

1977 Council Report

White House Conference on the Handicapped

June 10-11, 1977
Charleston, South Carolina

Election of Council officers

Analysis of Futures and Amendments Findings

Coordination with other Department Education Thrusts

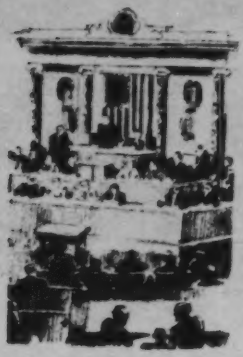
Lifelong Learning

State Survey

Education Advisory Council Chairmen's meeting

Regional Adult Education Conference

Chronology of the Adult Education Act



Federal funds for literacy programs were first made available with the passage of the Immigration and Nationality Act in 1918.

In the mid-sixties there were powerful economic and social forces operating that resulted in Federal legislative responses to the educational and training needs of adults who were undereducated, unemployed, unskilled and poor.

With the passage of the Economic Opportunity Act (OEO) in 1964 the Adult Basic Education (ABE) program had its historic roots. The ABE program sought to remedy the inequities of the educationally disadvantaged. The OEO program under Title II-B was delegated to the U.S. Office of Education until 1966 when the Adult Education Act was passed.

The following is a summary of the various legislative actions which have changed the Federal adult education legislation and the significance of those changes.

- P.L. 88–452: Title II–B: August 20, 1964
  Economic Opportunity Act of 1964

  Initiated Federal support for adult basic education. The legislative purpose was program funds for instruction of persons 18 years of age and older with inabilities to read or write the English language and to improve their ability to obtain or retain employment.

- P.L. 89–750: Title III: November 3, 1966
  1966 Amendments to the Elementary and Secondary Education Act (ESEA)

  This was the first legislation beyond the early provisions of the OEO legislation to assist adult education and provide expanded definitions for adult and adult basic education. The legislation reserved funds for special demonstration projects and teacher training. The Advisory Committee on Adult Basic Education was designated.

- P.L. 90–247; Title V: January 2, 1968
  1968 Amendments to ESEA

  These amendments retained an allotment formula and provided a state grant base of $100,000 and provided that private nonprofit agencies be included as eligible grant recipients.

- P.L. 90–576: Title III: October 16, 1968
  Vocational Education Amendments of 1968

  Section 302 of these amendments reduced the age of eligibility for the program from 18 years of age to 16.

- P.L. 91–230; Title III: April 13, 1970
  1970 Amendments to ESEA

  The 1966 Adult Education Act was amended in 1970 and revised the statement of purpose to include secondary education for adults. Three new definitions were added and the state allotment formula was revised along with the base grant increase to $150,000.

  The National Advisory Council on Adult Education was mandated by Congress.

  Additional appropriations were also authorized.

- P.L. 91-600; December 30, 1970
  The Library Services and Construction Act Amendments of 1970
  The Library Act amendments modified Section 305, allotment for Adult Education, of the Adult Education Act.
- P.L. 92-318; Title IV, Part C: June 23, 1972
  1972 Amendments to ESEA
  A new section of the Act was created (Sec. 314) for the improvement of educational opportunities for adult Indians.
- P.L. 93-29; Section 804(a): May 3, 1973
  Older Americans Comprehensive Services Amendments of 1973
  This amendment authorized the U.S. Commissioner of Education to make grants for special projects for the elderly under provisions of Section 310 of the Act.
- P.L.93-380; Title IV, Part A: August 21, 1974
  The 1974 Amendments to ESEA
  These amendments defined the community school program, revised the state allotment and the state plan requirements. A Clearinghouse on Adult Education was authorized. Effective June 30, 1974, the grants to each state could not be less than 90 percent of the grants made in fiscal year 1973.
  The National Advisory Council membership was changed to reflect persons with a special knowledge in the education of adults of limited English-speaking ability.
  The amendments provided that state advisory councils could be established and maintained.
- P.L. 94-405; Title III: September 10, 1976
  Indochina Refugee Children Assistance Act of 1976
  This title amended the Act by adding Section 315 which was an emergency adult education program for Indochina refugee adults. The program comprised grants to state and local education agencies.
- P.L. 94-482; Title III: October 12, 1976
  Education Amendments of 1976
  The passage of this legislation lowered from 15 per centum to 10 per centum the use of state grant funds under section 309—Special Experimental Demonstration Projects and Teacher Training.
  The maintenance of effort language of the law was modified in Section 307 of the Act.
  The General Education Provisions Act was amended by Title IV of P.L. 94-482 concerning Presidential Advisory Councils. Members shall now continue their term until the President appoints other members to fill their positions.

The National Advisory Council

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The National Advisory Council

Mary A. Crafa, CHAIRMAN
Des Moines, Iowa
Education Consultant
Appointed 1974

Reuben T. Gunthner, VICE CHAIRMAN
Bismarck, North Dakota
Assistant State Director for Vocational Education
Appointed 1974

Archie L. Buffkins
College Park, Maryland
Assistant Dean for Graduate Studies
University of Maryland
Appointed 1974

Donald G. Butcher
Big Rapids, Michigan
Dean, School of General Education
Ferris State College
Appointed 1975

Gertrude B. Calden
Santa Barbara, California
Vice President, Fund for Santa Barbara City College
Appointed 1974

Alton C. Crews
Charleston, South Carolina
Superintendent, Charleston County Public Schools
Appointed 1975

Kyo R. Jhin
Huntsville, Alabama
Executive Director
Tap of Alabama Regional Education Service Agency
Appointed 1975

Joan E. Kenney
Las Vegas, Nevada
Member, Nevada State Board of Education
Appointed 1976

Marshall L. Lind
Juneau, Alaska
Commissioner of Education, State of Alaska
Appointed 1975

Eugene L. Madeira
Lancaster, Pennsylvania
Director, Adult Basic Education, Lancaster District
Appointed 1975

Betty J. Mage
Vancouver, Washington
Chairman, Clark College Board of Trustees
Appointed 1976

Lane Murray
Huntsville, Texas
Superintendent, Windham School District,
Texas Department of Corrections
Appointed 1976

Arthur L. Terrazas, Jr.
Greeley, Colorado
Instructor/Coordinator, Adult Basic Education
Aims Community College
Appointed 1974

Judith N. Turnbull
Chicago, Illinois
Executive Vice President/Publisher, Tuesday Publications, Inc.
Appointed 1974

John K. Wu
Ludlow, Vermont
Education Development Consultant
Appointed 1976

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Council Committees

Although the Council's working procedures, actions and recommendations result from the deliberations of the entire membership, certain tasks—e.g., in-depth preliminary explorations, special studies, detailed analyses, and the draft of recommendations—are usually assigned to five standing committees. When needed, *ad hoc* committees are also named.

All committees act at appropriate times in accordance with their directives and under the policies established by the Advisory Council as a whole.

The composition of each of the Council's standing committees and an outline of the primary functions and responsibilities with which they are charged follows:

EXECUTIVE COMMITTEE

Chairman: Reuben T. Guenthner

Members: Donald G. Butcher
Alton C. Crews
Kyo R. Jhin
Arthur L. Terranna, Jr.
Mary A. Grefe (ex officio)

Functions & Responsibilities

- Assure fiscal oversight of the Council, its committees and its administrative office and personnel.
- Develop, in accordance with U.S. Office of Education fiscal policy, an itemized budget for the support of Council needs and activities.
- Prepare current financial statements, including budget expenditures and item balances, for presentation at Council meetings.
- Review expenditures and transfers of funds to ensure conformity with Council-approved budgetary items.
- Make recommendations for contracts and services for Council approval. (In exceptional circumstances between meetings of the full Council the Executive Committee may act on behalf of the Council in matters relating to policy and expenditures. These emergency actions are subject to ratification by the Council as a whole at a subsequent meeting.)

COMMITTEE ON GOVERNMENTAL RELATIONS AND LEGISLATION

Chairman: Alice C. Crews

Members: Gertrude B. Calden
Marshall L. Lind
Joan E. Kenney

Functions & Responsibilities

- Establish and maintain dialogue with Executive and Legislative branches of Federal and state government, and state education units.
- Develop recommendations on Federal legislation.
- Develop recommendations on rules, regulations, and guidelines relating to the implementation of proposed legislation.
- Develop testimony for use before Congressional committees and the Office of Education at hearings on pertinent legislation and appropriations.
- Review proposed and/or new education legislation for its probable implications and impact on adult education.

COMMITTEE ON PROGRAM EFFECTIVENESS AND EVALUATION

Chairman: Arthur L. Terrazas, *Jr.*

Members: Eugene L. Madeira
John K. Wu

Functions & Responsibilities

- Provide recommendations on ways and means to finance and complete Phases II and III of the Council's three-phase evaluation of the impact and effectiveness of existing programs under the Adult Education Act.
- Monitor any contracts related to the design and implementation of the evaluation design.
- Analyze (with appropriate contractor) data derived from the evaluation instrument.
- Compile current information on the status of minorities, women and handicapped persons in adult education.

COMMITTEE ON PLANNING AND DEVELOPMENT

Chairman: Donald G. Butcher

Members: Archie L. Buffkins
Lane Murray

Functions & Responsibilities

- Recommend to Council ways of developing an enhanced nations' policy for adult education that broadens the scope of Federal adult education beyond adult basic education.
- Explore new thrusts in adult education for Council consideration and, where indicated, recommend revision of priorities and areas of concentration.
- Maintain continuous communication with the National Institute for Education, and strive to ensure that reasonable amounts of allocated funds are expended for research related to adult education.
- Assist with planning and follow-through for Conference on Lifelong Learning.
- Continue liaison with the Deputy Commissioner for Occupational and Adult Education and particularly the Division of Adult Education.
- Provide (in conjunction with the Governmental Relations and Legislation Committee) optimal liaison between the Survey of State Support of Adult/Continuing Education and the Council.

COMMITTEE ON PUBLIC AND ORGANIZATIONAL RELATIONS

Chairman: Kyo R. Jhin

Members: Betty J. Mage
Judith N. Turnbull

Functions & Responsibilities

- Establish greater working relationships with organizations, agencies, and associations outside the field of adult education.
- Establish working relationships with other Presidential councils in education, and other professional organizations; business and industry, armed services, handicapped, the Council of Chief State School Officers, Comprehensive Employment Training Act programs, ACTION agencies, the American Association of School Administrators, the National School Boards Association, Association for Supervision and Curriculum Development, Education Commission of the States, and social organizations and agencies.
- Establish working relationships with the National Institute for Education and National Center for Education Statistics to initiate a national opinion poll related to adult education.
- Encourage a program section on adult education at the White House conference on the handicapped and general White House conference on education.

NATIONAL ADVISORY COUNCIL ON ADULT EDUCATION
425 13th STREET, N.W. / PENNSYLVANIA BLDG. / SUITE 323
WASHINGTON, D.C. 20004

PRESIDENTIAL
APPOINTEES

Mary A. Grefe, *Chairman*
Reuben T. Guenthner, *Vice Chairman*
Archie L. Buffkins
Donald G. Butcher
Gertrude B. Calden
Alton C. Crews
Kyo R. Jhin
Joan E. Kenney
Marshall L. Lind
Eugene L. Madeira
Betty J. Mage
Lane Murray
Arthur L. Terrazas, Jr.
Judith N. Turnbull
John K. Wu

ADMINISTRATIVE
STAFF

Gary A. Eyre
Executive Director
Carlene L. Turman
Assistant Director
Helen G. Banks
Administrative Assistant

Dr EYRE. If there are any questions we will be very pleased to answer them.

Chairman PERKINS. Let me congratulate you on your testimony.

Our next witness will be Dr. Curtis Ulmer, President of the National Association for Public Continuing and Adult Education, in concert with Mr. James R. Dorland, Executive Director.

STATEMENT OF DR. CURTIS ULMER, PRESIDENT, NATIONAL ASSOCIATION FOR PUBLIC CONTINUING AND ADULT EDUCATION, ACCOMPANIED BY JAMES R. DORLAND, EXECUTIVE DIRECTOR, NATIONAL ASSOCIATION FOR PUBLIC CONTINUING AND ADULT EDUCATION

Dr. ULMER. Thank you for permitting me to appear before you today to testify in behalf of the adult education portions of H.R. 15, the proposed extension of the Elementary and Secondary Education Act. Today I am representing the National Association for Public Continuing and Adult Education as its president. I serve as chairman of the department of adult education at the University of Georgia and formerly directed the adult basic education program for the State Department of Education in Florida. I was also involved in adult education at the local level in Mississippi for a number of years. I am accompanied by Dr. James R. Dorland, the executive director of NAPCAE, who has appeared before your committee many times—

Chairman PERKINS. I recall many.

Dr. ULMER. —during the 12 years he has been serving as our legislative advocate here in the nation's capital. The bottom line is, we support the legislation and, as Dr. Dorland told me yesterday, "If it's not broke, don't fix it."

We are here today to urge the extension of the Adult Education Act. Within our membership are the persons who have the primary responsibility for administering programs made possible by this legislation. Two of our affiliates are the National Council of State Directors of Adult Education, whose president is Norman Parker from Montgomery, Alabama; and the National Council of Urban Administrators of Adult Education, headed by Harvy Owen of Lubbock, Texas. I am speaking on behalf of those two important groups of adult education practitioners as well as for their parent organization, NAPCAE.

It is not necessary for me to recount before this Subcommittee the impressive record of accomplishment under the Adult Education Act. That record is history, and a proud history indeed. Several years ago when the General Accounting Office conducted a major study of federally-funded adult education programs, the major conclusion was that the biggest block to solving the problem of adult education in our country is that we aren't allocating nearly enough money to make the major impact which is needed.

I am proud that our Association was one of the leading proponents of Federal legislation for educationally disadvantaged adults back in the late 1950's and early 1960's even before the 1965 passage of the Economic Opportunity Act and its landmark Title II-B, adult basic education, which was incorporated into the Elementary and Secondary Education Act in November of 1966 and was designated as the Adult Education Act. The Adult Education Act was amended twice in 1968, twice in 1970, and again in 1972, 1973, 1974 and 1975.

We believe there are some sound, basic features of the Adult Education Act, which should be retained in any future legislation which is enacted. They are:

Tuition-free education for adults enrolling in programs funded under this Act; a delivery system in which the funds are channeled from the Federal Government through State departments of education and then directly to local education agencies, which provides the backbone for this Act; a funding ratio of 90 percent Federal and 10 percent State-local contributions; program emphasis on the educationally disadvantaged adults on the lower end of the achievement scale—functional illiterates; and earmarked funds for program development efforts selected at the State level for special experimental demonstration projects and staff development.

These are not judgments which have been made in a vacuum. The future of the Adult Education Act is of vital importance to us and it has been soundly debated and discussed by our members. We have a very active Legislative Committee chaired by Jim Miller, who serves as director of Federal programs for the Ohio Department of Education. Mr. Miller testified for us before this subcommittee in June of 1975 in what turned out to be a successful request for a reduction in the percentage of the adult education discretionary funds which each State must use for special experimental demonstration projects and teacher training.

Our NAPCAE Legislative Committee held a three-day legislative seminar here in April which was attended by a cross-section of adult educators from various components of our field-local education agencies, State departments of education, community colleges, advisory councils, universities, private organizations, et cetera. The seminar participants discussed the Adult Education Act in detail and came up with 12 tentative recommendations which are then sent to the members of our association. A June 25 deadline was established for replies to be sent to Mr. Miller so that the hundreds of responses which he received could be tabulated for use in our testimony today. I am pleased to present the following results from the NAPCAE Legislative Survey. Following each of the 12 recommendations is the percentage of replies from our members according to whether they agree, disagree, or are uncertain about the recommendations:

1. The Adult Education Act is basically a sound piece of legislation which should be amended and extended.

Agree: 95.6 Disagree: 1.3 Uncertain: 3.1

2. Special emphasis in future legislation should continue to be placed on adult basic education, with a majority of funds being spent for ABE, or the Grade 1 through 8 level.

Agree: 72.9 Disagree: 16.7 Uncertain: 10.4

3. The language in Section 306 which says that each State "will make available not to exceed 20 per centum of the State's allotment for programs of equivalency for a certificate of graduation from a secondary school" should be changed so that the percentage limitation is removed and left to the discretion of each State based on its own needs.

Agree: 71.7 Disagree: 21.1 Uncertain: 7.2

4. The provision in Section 306 that each State shall set forth a program in which not more than 20 percent of the funds "may be used for the education of institutionalized persons" should be changed to permit States to spend no greater percentage of funds for institutionalized persons than the percent such persons represent of the ABE target population—not to exceed 20 percent.

Agree: 67.6 Disagree: 19.2 Uncertain: 13.2

5. The cooperative arrangements, mentioned in Section 306 (3) (5) and (6), between the State educational agency and other agencies and groups should be retained but in an updated, combined manner which also provides for bilateral cooperation.

Agree: 86.8 Disagree: 3.3 Uncertain: 9.9

6. The continued existence of the National Advisory Council on Adult Education (Section 311) should be provided for in future legislation.

Agree: 87.7 Disagree: 3.7 Uncertain: 8.6

7. The establishment of State advisory councils on adult education should remain optional for each State (Section 310A).

Agree: 61.5 Disagree: 29.3 Uncertain: 9.2

8. The extension of the Adult Education Act should continue to make provisions for special population groups such as adult Indians (Section 314), the elderly (Section 310), and Indochina refugees; but separate appropriations are needed for these and other special groups to be served adequately.

Agree: 73.2 Disagree: 14.9 Uncertain: 11.9

9. The requirement that "not less than 10 percent" of each State's funds must be used for special experimental demonstration projects and professional staff development, (Section 309), is an important feature of the present legislation and should be included in the new legislation.

10. The Clearinghouse on Adult Education, as provided for in Section 309A, should be funded adequately and separately—in addition to State grants—if it is to become an effective mechanism.

Agree: 82.2 Disagree: 6.7 Uncertain: 11.1

11. The current five percent limitation on State administrative costs, as mentioned in Section 313(b), should be carefully reviewed, with the five percent figure being considered in the future as a floor for such costs and with consideration given in the new legislation to the possibility of increasing the allowable costs on a matching Federal/State-local incentive basis.

Agree: 70.1 Disagree: 17.4 Uncertain: 12.5

12. Since the principal limitation of the programs funded under the provisions of the Adult Education Act has been inadequate funding, the annual future appropriation should be as close to the present authorization of $200 million (Section 313) as possible.

Agree: 90.9 Disagree: 4.3 Uncertain: 4.8

Dealing with yet another important aspect of the Adult Education Act, its economic impact, a survey was conducted by Mr. Norman Parker, Chairman of the National Council of State Directors of Adult Education. The Economic Impact Survey was sent to each of the 50 States; replies from 19 of them have been tabulated. The three main categories about which information was sought were public assistance, employment, and job promotions. The first 19 States sending in their survey results indicated that 5,619 adult education students reported that they were removed from public assistance during 1975-76. Based upon the average annual cost per adult for public assistance in each State, the total projected savings in public assistance alone were more than $14.9 million in those 19 States in just one year.

As for employment, the same 19 States reported that 17,121 adult education learners became employed as a result of adult education; and 12,369 adult students received job promotions as a result of their participation in adult education classes. Admittedly, statistics such as these might be of more interest to the Congressional committees having original jurisdiction over legislation dealing with budget and appropriations matters, but few wanted to call them to your attention because it is this Subcommittee which will be making the all-important initial decision as to whether the Adult Education Act will be extended. When Mr. Parker's survey is completed this summer, we will be pleased to submit the nationwide totals to you for the record so it will be clear that on the basis of its economic impact alone, the Adult Education Act has been a smash hit of impressive proportions.

Conclusion: In my previous testimony I have tried to show that the position of NAPCAE's members is that the Adult Education Act is essentially an excellent piece of legislation which should be extended with modifications. However, this is not to say that we are

not also greatly interested in and highly supportive of other educational efforts and legislative approaches in behalf of adults. During the past dozen years in which the programs made possible through the Adult Education Act have received widespread acceptance because they have proven their worth over and over again, we have witnessed the advent of such fine efforts as career education, community education, the Right to Read, and—more recently—lifelong learning. We applaud these approaches and trust that they, too, will emerge from the crucible of time and testing in a refined and strengthened manner as have the Adult Education Act programs.

As a matter of Association policy we have been active and often aggressive in our attempts to work cooperatively with various groups and agencies which have a major commitment to serving the educational needs of adults. We are a charter member of the Coalition of Adult Education Organizations; we interact with the staff of the National Education Association in whose headquarters offices we are located and with whom we formerly maintained an affiliate relationship; we work closely with the National Advisory Council on Adult Education, the National Advisory Council on Extension and Continuing Education, and the Community Education Advisory Council; and from time to time we are involved in cooperative relationships with various Federal agencies having adult education responsibilities.

We know full well that adult and continuing education is a multifaceted enterprise whose descriptions and parameters most often exist—and differ dramatically—in the eye of the beholder. Idealistically we yearn for the day when we might have truly comprehensive Federal legislation in our field, but realistically we sense that the time is not yet at hand. We also know that some critics within our field have charged that the Adult Education Act is too narrow in scope. Our answer is simply this: We still have millions of undereducated adults in our country who desperately need to achieve a higher level of education so that they can be mainstreamed into our society and can become contributing, productive members of it. NAPCAE is an advocate for those millions of adults. We strongly urge the extension of the Adult Education Act because we honestly believe that it provides the single best chance of reaching those adults with educational programs of value. We thank you for having listened to our pleas again today and so many times over the years.

Chairman PERKINS. Our next witness is Dr. William L. Flowers, Associate Dean, Extension Division, Virginia Polytech and State University.

STATEMENT OF DR. WILLIAM L. FLOWERS, JR., ASSOCIATE DEAN, EXTENSION DIVISION, VIRGINIA POLYTECH AND STATE UNIVERSITY, REPRESENTING THE ADULT EDUCATION ASSOCIATION AND NATIONAL UNIVERSITY EXTENSION ASSOCIATION, ACCOMPANIED BY DR. LINDA HARTSOCK, ADULT EDUCATION ASSOCIATION, U.S.A.

[The prepared statement of Dr. Flowers follows:]

Testimony Before

Subcommittee on Elementary, Secondary and Vocational Education

Committee on Education and Labor

July 12, 1977

Presented by

Dr. William L. Flowers, Jr.

and

Dr. Linda Hartsock

representing

Adult Education Association, USA

and

National University Extension Association

Education - America's Magic

Education is America's magic. Use of that magic in the last century produced a multiplier effect which resulted in the creation of new products and services in our American economic/industrial/business/cultural growth pattern unequalled anywhere in the modern world. Among familiar examples in this United States of America through the use of education for youth and adults are the following:

- immigrants became industrialists
- an importer of Scotch whiskey became a multimillionaire and philanthropist
- a slave from Virginia founded an institution of lower and higher education known as Tuskegee Institute
- a boy scout became a pioneer in space travel
- a black Texas girl became an articulate congresswoman
- an Illinois rail splitter became an attorney and senator
- a tavern keeper, editor and inventor became an Ambassador to France
- a mechanic perfected mass production of automobiles and the Model T Ford
- a producer of New York apple juice became a giant among axle makers in Flint, Michigan
- a black scientist from Iowa perfected production and use of the sweet potato and peanut in Alabama
- and a peanut farmer from Georgia became President of the United States.

Congresspersons are among the models of citizens who use lifelong learning through daily study, analysis of proposals, weighing of action implications and writing or examination of policy. These are examples of ways this magic works. Other examples are to be found in the business, industrial and research sectors. Without ongoing study, rigidity of the mind (rigor mensis) sets in. With the use of lifelong learning, progress sustains.

Adult Education - Economic Growth

In the governmental, business, industrial and education sectors of our society, we must push growth through lifelong learning. Unless we do, those adults who are non-producers will grow smaller in number while those adults who depend on the economic producers become larger in number. A dangerous imbalance appears to be present today. But there is an encouraging word.

Today, a numerical new majority of adults are involved in part-time adult education. More adults are participating in part-time adult education than in full-time adult education. The implications of this new pattern for national policy and support of adult, continuing and extension education are at the same time, both frightening and exciting. With this new multiplier potential through a modest input of dollars invested in people, effective application of part of that educational outcome will sustain growth, and thus become an essential output in the economic sector.

Maintenance/Development of People

In this society, we maintain people and we develop people. Those who are maintained only, have little potential for making a productive return to the economy. Those who are maintained while being developed hold potential for a return to the economy. We require enough seed money regularly and sustained in order to make this adult education effective.

The education/economic complex of this society like the military/economic complex holds a potential for protecting us or for draining away our economic resources. The task for those of us in adult education leadership roles is to make development effective to gain an economic multiplier. The adult education output or productive return to the economy is in one of two forms. Those output forms are the development of a product or a service. We must educate adults in such a way as to gain a balance in both.

Twentieth Century Adult Education Models

During the first quarter of this century, two major American adult education movements impacted this nation. One was development of teachers colleges by state and a few by some private effort. Many of these teachers colleges are today members of universities or university systems. The other was the development of the Agricultural or Cooperative Extension Service. This was a plan linking the theory base at an academic institution to communities through a dissemination mechanism known as agricultural or cooperative extension. Those two adult education structures probably more than any other boosted the American economy during the second and third quarters of this century. We are where we are in America today due in large measure to the multiplier effect gained through these two valuable efforts created in the first quarter of the 20th century.

Now we are in the last quarter of the 20th century. Educational structures must focus an impact on adult education and lifelong learning. The Cooperative Extension concept by its effectiveness created a level of food and fiber produced through agriculture and a quality of home life previously unknown in the world. This Cooperative Extension model is so well accepted today that everyone wants to apply it everywhere.

While the cooperative extension land-grant model is one answer for the future, it cannot be effective without sustained support of dollars for development, any more than congresspersons and the administration can afford to serve without the support voted for themselves. If the economy is to sustain, some development dollars must be reinvested in adult education. We believe this is the best application of dollars for investment in order to return to

the society the magic multiplier of American adult education. While we will not make an issue between allocations for military preparedness and adult education preparedness, the former cannot be supported or sustained without the latter. Education is still a more basic necessity to survive in a free economic society than any other single function or activity of the society. If we did not believe that, we could not stay in the business of education.

In my professional opinion, during this time and in the years ahead, adult education has a mandate to produce more generalists to serve the needs of the economy. My definition of a generalist is an adult who possesses more than one specialized skill or talent and one who can perform other tasks well. (Congresspersons are generalists.) It is my view that in this way can we best accommodate employment role or career changes necessary to productive output in the economy.

Adult Education Policy

Congress ought support a modest annual increase to adult education, not because that is where the votes for the president are, but because that investment in people is going to return dividends in the future. As generous as we have become in giving billions of dollars for maintenance of segments and audiences of our citizens, those being maintained without being developed cannot generate the new products and services required by this American economy.

The American farmer produces enough food for himself and about 50 others. That achievement was attained through a strong work ethic, a free economy and adult education services through cooperative extension and land-grant universities. Through that adult education plan, we helped educate adults to help

themselves. We must do more of the same for other productive adult audiences in the future. You must assist us by developing a policy of dollar support coupled to a policy of expected accountability reflected in the multiplied return of production to the American economic sector. Education can again be America's magic.

Dr. FLOWERS. In the statement, page 2, we have an amendment on the third line which I will cite: The Adult Education Association supports this legislation as proposed. We would like to call to the attention of the Committee and to the Congress some central thoughts we believe we recognize but sometimes forget.

Education has been America's magic. You and I are where we are, due in large part, because of that education. In the first quarter of this century we set into place two institutions with regard to the economic development of our society. Those two institutions were the teacher colleges, many of which are now universities; and the cooperative extension service, also known as agricultural extension services in some places. Through those two institutions, people have been developed throughout this land. What we did in that first quarter of a century was to build a base as to what has happened in the second and third quarters of this century.

Now we have come through the fourth quarter where we must continue to use these institutions to continue to sustain the growth of our people.

One of the things we recognize is that education in theory is not enough. Education as applied is an essential component which we must have in this society of ours. We say in the adult education program, there is a linkage between the economic growth in the society and the effectiveness of the legislation.

We think this Act and others which have been supported by the Congress are a step in the right direction.

One of the things we seem to see in this society is, we have two major concepts under which we operate; we maintain and develop people.

The development of people helps us to return the essential ingredient to the economy which we must have in order to sustain the cycle of education.

The thing that we would say here, sir, is that in this last quarter of the 20 Century, in the educational realm of the public schools, we think Congress ought to support a modest annual increase in adult education, not only because that is where a majority of the educational need is going to be in the last quarter of this century, but because this investment in time will return dividends to the society in the future.

As generous as we have been in providing millions of dollars for certain segments of people in this society, those who are being maintained without being developed can't generate the new products in the new society.

The American farmer is what he is today as a result of the cooperative extension, agricultural extension service as part of an adult education effort that began in the first quarter of this century and continued through the second and third quarters of this century. That American farmer today produces enough food for himself and 50 other people. That is an example of the multiplier concept which we believe can be achieved through the adult education program which the Congress has begun to support.

Chairman PERKINS. Let me thank all of you distinguished educators for your time.

For many years we tried to get adult basic education enacted into law. It was not until we put it into the so-called poverty package in 1964 that we were able to get the legislation enacted. Back in those days, we considered that we had about 11 million functional illiterates, those with anything below a fifth or sixth grade education. We recognized the great need to move into this area.

I, personally, feel that we moved in this area with very modest means, but with the seed money which the Government provided the States came a long way in supplementing the funding.

The results obtained in this particular area over a period of years, to my way of thinking, have been amazing.

I know of no program that has shown better results, considering the amount of limited funding from the Federal Government, than the Adult Education Act. I have visited programs in the Appalachian area and I know of the results. But I have heard some people come here before the Committee in recent years and to some degree criticize the program. It was wholly unjustifiable because although they did have some poor programs in the country, by and large they were quality programs.

Mr. Delker, you say according to the adult performance study almost one in five adults were found to be functionally illiterate.

Why are these people not being reached by the Act? How might we amend the Act or change the administration of the program to insure these people are provided with education in the areas where they are most lacking?

Mr. DELKER. Mr. Chairman, some of the evaluation studies which have been conducted indicate the inertia of the school system and the more educationally mobile population, that would be those at eighth grade and above. As in other types of programs, those adults are more aggressive in seeking out the services available and better able to represent themselves in their own State legislatures and school boards.

There seem to be no problems in the States developing their own resources in the high school completion area in response to the requests and needs of that part of the population.

But we think that a redirection of the Adult Education Act in which we shift the educational objectives from high school completion criteria to attaining functional competence as measured and established by the adult performance level study is indicated.

Chairman PERKINS. What do you mean? Basics in reading, writing and arithmetic?

Mr. DELKER. Not only do they acquire those skills, but they are able to use them. In New York State they have developed an

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external high school program. They have a series of assessors working with individuals and use a number of real life performances to determine if people are competent.

For example, if a person can demonstrate she has made a dress, she is automatically awarded certain reading competencies.

Chairman PERKINS. The greatest thing you can do for a person of that type is provide him with knowledge of the basics. He gets more satisfaction, according to the conversations I have had, from learning to read and write and calcualte. From those basics, everything from there on will fall in line. But he has first got to get those basics.

Mr. DELKER. That is correct, Mr. Chairman, it is certainly true.

It is more expensive to reach the less educated population because once one reaches an eighth grade competency his rate of progress increases sufficiently.

Mr. MOTTL. Mr. Chairman.

Chairman PERKINS. Yes, Mr. Mottl.

Mr. MOTTL. May I ask one question of the panel?

Chairman PERKINS. Yes, let me ask one or two more.

Mr. Delker, the background materials you gave us show a decreased figure for the percentage of program completers at the twelfth grade and eighth grade levels since 1975.

To what do you attribute this decrease? (See Appendix 5.)

Mr. DELKER. The recent GAO report analysis cites an attrition rate in excess of 40 percent, which is a correct attrition rate if one uses the criterion the achievement of a high school diploma. However, 13 percent of those leaving the program without achieving a diploma had said they met their personal objectives or left to take a job. In terms of the Act, we think those should not be considered people who "dropped out".

I think that decrease is due, in part, to the fact the program is more flexible and more effective than it was in its earlier years. So the adult's actual objectives are better met.

Chairman PERKINS. I would like to ask all of the witnesses, do you feel the 20 percent maximum for institutionalized adults and for secondary education should be changed; or do you think there should be a separate appropriation for these and other special populations under the Act?

Go ahead, Mr. Delker.

Mr. DELKER. I defer to the other members of the panel who have data firsthand from people in the States, which is not available to us.

It appears, based on what States have reported, the institutionalized provision has stimulated certain areas. It has increased the demand by those representing institutionalized adults for services. Many of these programs are the least expensive reported. In the case of those incarcerated, often an adult education program can be mounted for a very small cost in teacher training and materials. I think the Congress should consider the benefits of that type of stimulation.

Chairman PERKINS. Go ahead, Dr. Eyre.

Dr. EYRE. Mr. Perkins, in two places in our testimony we relate to that, in the State plan process, the Council is of the opinion that not

only the institutionalized individual but other minorities, elderly, rural, etc., should be addressed in a separate section within the State plan, that is Section 306.

Your question is very pointed in terms of the dollar figure. We are of the opinion that there should be a separate line item appropriation addressing a category we call special populations. Mr. Perkins. That is where the institutionalized individual would come in. We are of the opinion there should not be a per centum factor. You mentioned 20 percent, which is in the law. We feel that ought to be left to the discretion of the State agency responsible for the administration of the State plan.

Dr. ULMER. Our survey asks whether they agree with the present 20 percent maximum. The membership said there should not be a percentage, they felt, 71.7 percent of the members felt it should be left to the discretion of the States, 21 disagreed and 7 percent were uncertain.

It seems to me, as a past director of adult basic education, it is an easy way to get adults to get into basic education by going into institutions. I would rather leave that to the discretion of States than putting it in the Act itself.

Dr. FLOWERS. I think that is a sound conclusion.

Chairman PERKINS. Mr. Mottl.

Mr. MOTTL. I would like to address a question concerning competency testing in the basics. Would you subscribe to what many States are doing in secondary schools and elementary schools by having competency testing for children before graduating them from a secondary school and sometimes from elementary school? Would you subscribe to that?

Dr. ULMER. I would subscribe to that. I would think before you pass from one level to another, if you don't, it would create problems.

Dr. EYRE. Mr. Congressman, there is a fine study just completed by the Education Commission of the States relative to competency testing at the elementary and secondary level. That study has indicated a significant growth and concern as to social promotion and has pointed out a need for the development of competency based testing in various subject matter areas and a move away from grade levels.

I would hope that perhaps the staff might get their hands on that particular study. It is a fine study.

Mr. MOTTL. If the staff could secure this for me, I would appreciate it.

Chairman PERKINS. We will do our best.

Mr. DELKER. The Office of Education supports this. When we talk about competency assessment, we don't mean simply passing a paper and pencil test. We are really talking about the ability of the adult to function in the society, home, and community with respect to his responsibilities to government and law.

We have reports of several experimental programs now being used by some of the States. Some are certification oriented ending up with a diploma; some are not. Some are just in reference to getting a job. We certainly support that concept.

Dr. FLOWERS. I would like to say, about two months ago I was asked to respond to the same question before the North Carolina

Senate Education Committee where they are considering exit requirements from the secondary school.

I think what happened in society in the last 20 to 30 years is, we got away from the standards for judging the progress of students from one grade level to another. I recall, when I was in public school work a decade or so ago, we began to get a shift of a different kind of philosophy which was that people should be promoted and we should ignore whether the competencies towards reading and writing were really there.

Some of the problems we have are because we did not calculate. A social promotion era is passed. It had its movement in certain of the large urban areas. It moved to the West Coast, back to the South and to the Southeast last. We were more conservative and it came here last. I think we have a generation ahead of us to look again at the standards we need to subscribe to in education in this society.

I might add this: All the devices which we, as educators, have used haven't been the best one. I would like to cite a story which was shared with me. A lady was involved in a program and was presented with this problem, if you have a bedroom nine by twelve, what is the area? And she said, "Well, give me a dime and I'll give you the answer." So the person gave her a dime and she went to the furniture store where they sold rugs and she said, "I have a room nine by twelve, how many square feet do I need to cover the room." She had devised a solution to her problem. She knew where to get the answer.

Chairman PERKINS. Mr. Goodling.

Mr. GOODLING. Mr. Delker, in your testimony you indicated the program is, in fact, not doing as much as the Congress had intended it to do, particularly in the area of the least educated where I think the emphasis should be placed in the program.

We used to think there were a lot of youngsters who couldn't learn to read. We have since learned when they are ready, if motivated, they will. If we are only getting 35 percent of the least educated into the program—and I suppose that group doesn't stay too long after they are in the program—how do we motivate them to stay in this program? They are the ones we should be most concerned about?

Mr. DELKER. Dr. George Eyster, of the Appalachian Adult Education Center, Morehead State University, did some research on this problem, and he describes this population in four categories. (See Appendix 10.) The first is the person who values education. When these people get it, it is merely a question of access. So by increasing the number of programs, etc., these people will readily move out into education.

The next category shares the same value, but in order to take advantage of educational programs, they have to have some support services. They might need transportation or child care, for example.

The third group he identifies values education and will seek it, but their need for other services is too great or hassled. There may be health or unemployment problems or family problems so that they are not in a position to take advantage of educational programs.

And, finally, he identified a category of people who are fatalistic, who feel life has always been this way and will always be this way

for their children. Dr. Eyster felt you should take the services to the home. He called this homebound; we prefer to call it homebased. It was effective because the learning rate increased two and a half times over the normal rate in the classroom. Dr. Eyster and I discussed this. We think it was because in those situations the adult identifies the home as a place of learning and doesn't have to go out and have it happen only when the person sets aside time for that purpose.

Mr. GOODLING. We found the same with three, four, and five year olds.

That brings me to a question, of course, the question of how do you finance such a program on as large a scale as we find ourselves faced with?

In line with that, a couple of questions as to financing. First of all, are you finding States are setting aside additional moneys beyond 10 percent? Anybody who may be familiar with this may answer.

Mr. DELKER. Dr. Eyre, in the survey the National Advisory Council has done, has additional data. In terms of the matching funds reported, the States are now matching 31 and a half cents on the dollar against the 10 percent requirement. Eighteen States do not overmatch. In fact, they have difficulty coming up with the 10 percent.

Mr. GOODLING. Because of priorities or feelings in relationship to adult education?

Mr. DELKER. That is primarily the problem. It is not seen as a high enough priority. There is no State legislation explicitly supporting adult education. In a State like Texas they have $3 million appropriated in contrast to a State like Mississippi where there is no appropriation.

Dr. Eyre might be able to give additional information.

Dr. EYRE. In the council's survey on a State-by-State basis, since the '66 amendments, we have found better than 40 percent of the States have taken a move to have State legislation introduced or by modifying the policy of the State board of education, allowing State grant moneys from the general fund to be placed in some segment of adult education. So, there is a significant move on the part of the States to not only match the Federal requirement of the 10 percent, but to overmatch that and, in addition to that, provide other funds for adult education services. One of those, sir, is in relationship to your first question to Paul, that is in the area of guidance and counseling services. It is very difficult to attract the undereducated individual at a third and fourth grade level of competency, if you will, until that individual can have a face-to-face relationship with someone in the program and, therefore, realize there are these kinds of services available.

So there is another area of guidance services important in recruitment and retention of people which is necessary.

Mr. GOODLING. Some have indicated toward retaining the 90/10 match. Are there any who would go for the 85/15?

Dr. EYRE. In the course of the last decade people we have been involved with, as a council, say, no; maintain the Federal commitment at a 90/10 level and let us overmatch if we can because there

haven't been enough moves on the part of State legislatures to put up enough dollars. So our recommendation is to retain the 90/10 factor at this time.

Mr. GOODLING. I think you said there were only 11 top States doing the overmatching. Is the 90/10 going to encourage the other States to get more involved?

Dr. EYRE. Yes, sir. Personally, I am afraid if it went beyond that, you might find various States backing out of it. I think 90/10 is a sound per centum factor.

Mr. DELKER. There is a factor here that should not be overlooked. The original legislation required cash; the legislation now provides in kind matching. If we were talking about in kind contributions, I think the States could manage slightly more than 10 percent. Some of the States would have serious difficulties with cash matching.

Mr. GOODLING. I have no further questions, Mr. Chairman.

Chairman PERKINS. Mr. Le Fante.

Mr. LE FANTE. I have only a few questions. Most of my questions have been answered and I will try to be as brief as possible.

Mr. Delker, in your prepared statement, you referred to an estimated 23 million adults who lack the basic competencies required to function at a minimum level. An estimated 40 million meet the minimum level but couldn't meet the every-day requirements. So if you add the two categories, I think we can say 63 million adults in this country lack the competencies required in meeting every-day requirements.

Mr. DELKER. Yes, sir.

Mr. LE FANTE. Has there ever been a geographical study?

Mr. DELKER. The data were such that we couldn't break them down further than the four regions of the country, the South section has the highest percentage of people not able to function under these terms.

Mr. LE FANTE. Do you know what percentage that is of the 63 million? Would it be one-quarter, one-fifth?

Mr. DELKER. I can provide those data. I can certainly provide them.

Mr. LE FANTE. Will you supply them for the record?

Dr. EYRE. Mr. Congressman, also we have submitted to Mr. Perkins and Mr. Quie at one time the Council's target population which breaks out by State individuals having less than the completed secondary education. As an example, in your State with a population of nearly eight million, we find over two million people who would qualify under that term of target having less than completion of secondary education. So that data is also available to you. (See Appendix 8.)

Mr. LE FANTE. We just gained another Congressman. The population of New Jersey is really seven million.

Mr. DELKER. In answer to your question, it was almost double in the South.

Mr. LE FANTE. Do you have data on age?

Mr. DELKER. We will supply those, also. (See Appendix 8.)

Mr. LE FANTE. It seems to me, based on my experience and what I have heard here this morning, perhaps we should be concentrating on the system in the early years in addition to what we are doing.

You say on page 5, the second paragraph, that the quality of adult eduction programs is markedly improved when staffed by full-time administrators, teachers and personnel. Would you elaborate on what you mean by "markedly improved?" It has improved as to what?

Mr. DELKER. These figures come from a six-State survey conducted by Columbia University. The type of study was a series of six months' residential observation. So they aggregate new conclusions which do not translate into drop-out figures, as such.

As so often the case in research, it simply confirms our best thinking. The explanations for these, I think, are that full-time staff are usually professionally trained in the field. The journals which they read are those relating to adults. If I am an elementary teacher teaching Saturdays or evenings, I am probably reading elementary education journals; and we know that the material used in the education of adults is significantly different. We think full-time personnel are an essential part of improving quality.

Mr. LE FANTE. Assuming the Committee should agree with you, to take markedly improved systems we would have to consider going into full-time administrators and so forth.

Chairman PERKINS. May I interrupt?

We are going to recess the members here for the full Committee and call the Committee back for Thursday morning for the purpose of marking up the Aging Bill.

Mr. LE FANTE. Do you have any idea of costs? Assuming 25 percent of all our adult educational staffs were full time, would you increase that to 75, then eventually to 100 percent?

Have you any idea as to the cost figure?

Mr. DELKER. We would be happy to make some projections. There are two factors to keep in mind. Certain administrative factors could increase the staff. In some States they are now requiring school districts to enter on a consortium basis because they are convinced they will get a better program that way.

I think if the Congress held to this concept, a considerable effort could be made without considerable cost. You cannot fund a full-time person without a full-time salary at some point. Our larger urban districts are able to do this, but . is largely in the rural and more geographically spread areas where we have a problem and critical mass funding would be required. Currently, we have about 25 percent full-time personnel.

[The information referred to follows:]

The Office of Education does not collect data on an average cost for part-time instructional personnel as compared to full-time personnel. There are approxiamtely 13,553 full-time teachers of adult education whose salaries range from about $6,000 to $22,000 per annum plus fringe benefits of an average of 22%. More than 137,600 part-time teachers of adult education receive salaries ranging from a low of $3.00 an hour to a high of $12.50 an hour, an estimated average wage of $8.00 per hour. Information available to the Division of Adult Education indicates that while some States prefer part-time instructional personnel, other States are forced to hire part-time instructional personnel and conduct part-time programs because of limited funding. Informal estimates by States whose programs comprise 63% of adult education enrollment indicate that a conversion of part-time programs to full-time programs would require an increase in salary costs. Not only are full-time personnel costs greater, largely as a result of fringe benefits, but the operating costs of full-time programs may also be higher.

Mr. LE FANTE. I think you can appreciate, as a member of this legislative body, I for one, would have to be convinced a full-timer would give us the degree of competency we are looking for and even before that we would have to have a dollar figure. So perhaps if your division or some of the other groups would become involvedin that, it would be beneficial.

Mr. Quie.

Mr. QUIE. I would like to ask the Advisory Council, about its statement. Page 13, indicates the use of data from the Census Bureau. How do you determine you will make the grant? You don't use the Census information, do you? How do you find it out?

Dr. EYRE. We could probably use the Census figures as a basis for a formula State grant system if, in fact, the Census figures really examine the educational levels of adults. The present Census figures really don't start in that level until age 25, so one must do a lot of calculation between the age 16, the present law, and age 24.11.

So the actual Bureau of Census documents for gathering figures should be modified if, in fact, you are going to use that as a basis for distribution of data. That is something the Office of Education is looking at but there has not been much action on the part of the Department of Commerce or Census on that. Also, we don't know the drop-outs who have actually left the system after age 16, but still qualified under the statutes of a State to be eligible for ADM or ABA money in the States. There is just a lot of problem with the Census figures right now.

Mr. QUIE. Have you or anyone else laid down how the formula ought to operate in a proposed amendment to the present law?

Dr. EYRE. The National Advisory Council has not. After examining what we have determined you would have to use the Census figures but the figures would have to be more reliable and that is already locked in until the '80s. So we have 54 million operating without a high school diploma. How many of those are ready and willing to get into an adult education program. The guy with 40,000 acres in Lincoln, Nebraska, making $50,000 a year is not a candidate.

So there is a difference between the demand population and the target population. How do we address that? You are addressing that in Title II business, too.

Mr. QUIE. Is there any way of handling the estimate of need?

Dr. EYRE. If you would fund the Council's assessment project, which you have asked the Council to take on, we could get at some of those.

Mr. QUIE. Could you do it accurately enough to use it as the basis for a formula?

Dr. EYRE. To implement the 311(d) project, about $660,000. The instrument is already there. If you had let us get that when Ted Bell was the administrator, but we have not been very successful with you—maybe not with you, but maybe Mr. Flood.

Mr. QUIE. Maybe we ought to make sure we can do it in such a way Mr. Flood can't stop it.

Mr. DELKER. In the Office of Education we are not quite ready to discuss any formulas, but if a more extensive basis of census data were available, we could get enough statistical reliability to identify

those not able to be competent. We think it would cost between three and five million dollars to develop that and it would have to be done periodically and updated.

Another formula factor we are considering is the one for the poverty index, the number of people 16 and over in the poverty level because there is a very high relationship between income level and the inability to function on the adult performance level as there is in the amount of education and the inability to function.

Mr. QUIE. How many people below the poverty level would have less than a secondary education? What percentage? Do you have that? Would you traditionally use the poverty level or would you use CBO's data where they count in, transfer payments, welfare payments, as part of the income.

Mr. DELKER. I am not familiar with that particular formula. Colleagues in the Office of Education are closer to those issues than I am.

Mr. QUIE. The problem with the Office of Education figures is that it seems they never look at the same people as to their educational disadvantagement and their achievement. They are looking at apples and oranges.

Dr. EYRE. Isn't that what you are looking at personally in Title I? That is what we should do in adult education. Forget grade levels. How do you determine that? Do we have a testing system where a person in an APL project is functionally in arithmetic arts and because of that he is a part of the population when the State gets X number of dollars over and above the $150,000 base?

Mr. QUIE. I know of an individual who didn't finish school. When I first started school you could quit at the end of seventh grade and they did. Some of those men could buy out quite a number of my colleagues here in Congress.

Dr. EYRE. They are the ones taking care of your horses.

Mr. KILDEE. I don't have any questions but being a resident of Michigan, I have taught adult education courses. I think adult education not only benefits the individual but the entire community. This is really evident in Flint. In my adult education classes I have taught students from 16 through age 70, and beyond. One of my students who was in her '70s still writes to me giving her opinions on various pieces of legislation. Sometimes she agrees with me and sometimes she doesn't. Aside from helping those who are poor, I can recall in Flint after the recession following the oil embargo, a number of people who had been well employed went back for adult high school completion classes, and many are now in the community college. So people who have good jobs can upgrade themselves educationally when programs are available and I think that is an aspect of adult education we should look at, also.

I have really been impressed. I have great pride in adult education because of the program we have in Michigan.

Mr. HEFTEL. Mr. Corrada.

Mr. CORRADA. No questions.

Mr. HEFTEL. Mr. Pressler.

Mr. PRESSLER. I wanted to ask about 303(c) which helps people to retain or get education.

How well do adult programs at the adult level achieve this objective; and do you think it is an appropriate objective for the funds?

Dr. ULMER. I think very much so. I think the most distinguishing thing about this Act is that it doesn't do something for people. It allows people to do something for themselves. That follows in the best tradition of the American dream.

Perhaps I have not addressed myself specifically to your question.

Mr. PRESSLER. What percentage of all public funds going into adult education are Federal funds? I know some of the State funds are 10 percent, but in terms of the local inputs I guess that is what I am struggling to get an answer on.

Mr. DELKER. I am not sure I have your question.

Mr. PRESSLER. How many States now appropriate funds beyond the required 10 percent?

Mr. DELKER. Eighteen either appropriate or obtain through State and local funding in excess of the required 10 percent. Many of these only exceed it by one or two percent; while in some of the larger States, there is an 80 percent matching made.

In terms of employability, I think it is a very appropriate purpose of the Act. I think it should not be the exclusive purpose, and it is important to distinguish between employment and employability. We know, as the study on target population demonstrates, the ability to get a job and earn income is based on education. I resist the kind of measure in asking questions as to how many people became employed as a result of the program. We can't say education can actually result directly in people being employed as some of the unemployment statistics can tell you. But the notion to improve the employability and the ability to take training making them more employable is important.

Mr. PRESSLER. How many States have State advisory councils?

Mr. DELKER. The National Advisory Council has done a survey on that.

Dr. EYRE. There are 27 States which would have advisory councils but only two States have advisory councils utilizing Federal funds under the provision of Section 313 which allows for the expenditure of funds for those advisory councils.

All of those advisory councils are not responsible for rendering advice on adult education. For example, in the State of Texas there is a Committee of the National Advisory Council which handles the adult education portion. Like in the Flint schools, it may be tied into community education, it might be tied into lifelong learning councils or whatever.

But in Dr. Ulmer's testimony you will note there is a question which addresses State advisory councils and there is significant evidence that States are desirous of having State advisory councils as a provision of the law, a "may" provision rather than a "shall".

Mr. PRESSLER. What funds do the States use?

Dr. EYRE. The law permits them to utilize the 313(b) dollars. If they do they must adhere to all the prerequisites of the law. Most of the States utilize State dollars rather than tie into the Federal Government. There is no salary, only expense money. As an example, in Iowa their total expenditure was only $3,000 and they met at least six weeks in concert with the State agency people.

Mr. PRESSLER. Thank you very much, Mr. Chairman.

Chairman PERKINS. Mrs. Pettis.

Mrs. PETTIS. I have no questions, Mr. Chairman, thank you.

Mr. HEFTEL. I wonder if you would like to observe with me what it means that out of perhaps 140 million or 130 million adults, however those numbers turn out, you are saying, in effect, that approximately one-half of these adults are not equipped to meet every-day living requirements. Should we be talking about the need for adult education or should we be talking about the educational system that is not satisfying the obvious minimal needs of almost half of the population coming out of our public school system?

Mr. DELKER. I would like to respond to that.

Mr. HEFTEL. Please.

Mr. DELKER. Commissioner Bell, when he responded to the national survey, indicated the elementary and secondary education system should take a close look at these data and phenomena.

I can be less critical inasmuch as we have been saying that we should continue to learn. When you look at the three levels you can also become aware as to how complex it is to live in our society. We simply haven't been able to respond in the educational system, I think, as we do have to respond.

One of the characteristics which distinguishes the so-called proficient part of the population to which you referred, that comes from another study, is that those people who are proficient have acquired the means for taking responsibility for their own learning and continuing to learn in response to meeting jobs in the community. Every adult who has not acquired the ability to learn and continue to learn in response to changes and to problems must do so. We must bring that set of competencies up front and begin to work systematically on how both youth and adults meet these competencies; otherwise, we won't be able to keep up.

Mr. HEFTEL. Aren't we still evading the issue, which is, we don't have an effective grammar program in the high school system; that it is not working adequately? That perhaps you are telling us that for at least half our high school population we need living and working experience with schooling in a much different system than we are using now. Aren't we perpetuating incompetence with teachers who don't teach half the students before them? Is there not a major problem with the system itself and our concentration in funds should be looking at an inadequate teaching system and inadequate teachers and schools?

Mr. DELKER. There is a serious problem, as indicated, with our educational system. That would be the general response of the people in the system and the States as well. It is less clear to us as to how we remedy the problem. I think the whole notion of competency-based education is a good movement. I think programs in work study that mix life experience with basic skills learning and career education efforts are all in the right direction and perhaps other members of the panel would like to respond to this question.

Dr. EYRE. The average completion is 12.2 years, if one travels as you and your colleagues do, I think we have to come back home and pat ourselves on the back for a fabulous enterprise. I agree with

you, sir, that yes, there are a great many difficulties and I would hope the American educational system would eventually put adult basic education out of business and that we wouldn't have 850,000 drop-outs in the public schools every year and we wouldn't have the Johnnys and Marys leaving the school without the ability to read and write. I certainly hope we get away from seat time where kids must occupy a chair for 110 hours in world history. I hope we get into competencies.

I would like to see us address the competencies at both elementary and secondary level and at the same time develop a system in America where our policy is one of lifetime learning from cradle to grave and where one needs to prepare for employment, retirement, I think adult education is an integral part of a lifetime project. I am afraid we don't have a total American policy. If we do, I wish someone on this Committee would tell at least me what it is. I hope we develop that, sir, so we do have lifelong learning as an American goal. Then I think we get at some of those issues which you have so adequately spelled out.

Mr. HEFTEL. What you are suggesting, perhaps, is that because we can't educate our students in the grammar and high school system, but can put a man on the moon—no more than 50 percent can, as you put it, meet every-day requirements of living—that we go into a system that keeps educating, trying to achieve that goal. But when you talk about minimal requirements for living, you really should be talking about what we have a grammar and high school system for. I don't think it is very difficult to perceive the fact that those who have more education and more skill realize you have to continually go forward learning if you are going to stay abreast of what is happening in our contemporary world. But I don't think that is the issue we are addressing right now. I think we have to address the greater issue which is how have we developed a grammar and high school system which can't provide minimal efficiencies for any more than 50 or 55 percent of the youths who go through that system. It seems this is where the emphasis should be and that we are glossing over a critical deficiency. I think a man on the moon has almost nothing to do with what we are discussing. All that says is, there is a small percentage of our population with the necessary motivation to put a man on the moon.

But we really are not concerned with that when we talk about the 50 percent of the population not meeting its daily requirements for living in terms of proficiencies obtained in the school system.

I don't think we will get very far with the problem if we don't talk about it. We are talking about that which is supposed to be theoretically accomplished during the high school years.

One of the dire problems we are confronted with in America is that half of the young people are leaving school unqualified to leave school and are a part of the unemployment force, as high as 40 percent, because we have not done anything significant during the grammar and high school periods. There is something basically wrong.

Mr. DELKER. I don't disagree with you, but there are other dimensions which should be looked at and those are the data which

say even if you have the best school we know how to put on for economically disadvantaged children, they don't respond as desired.

The so-called Coleman Report identified this problem. It says the socioeconomic influences are greater than the influences which the educator can mount during the hours the child attends school.

We have other data which show that children of educated adults progress better than those who are not.

The children of high school graduates do better than children of parents who are not high school graduates.

When one considers a child has something like 1500 viewing hours of television we have to be realistic about it. I am not trying to get the school system off the hook, but it might not be possible for the school system to remediate completely the many complex problems of society.

Mr. HEFTEL. What you are suggesting is that those of you in your field and those of us in Congress are unconsciously, somehow, deliberately depriving half the population of the learning and living skills? If that is the case, we have to address that problem, but you can't avoid that problem by simply making that statement or some other statement. At some point we have to find out what that system does accomplish. We need another system for the other half, if that which we have now addresses only half the population. You are suggesting that the people in your role and our role are satisfied in keeping half the people in an incapable form of living. You are focusing it as a deliberate attempt, unconscious or not, to do this to half the people, which means you have challenged us to find out what we are doing as to what is wrong; to say the school system we support is designed to deprive half the people of living effectively in the society.

Mr. QUIE. There is a lot of truth to what has been said here. I don't feel anyone is necessarily guilty. It reminds me of some of the guilt complexes when President Kennedy was assassinated. It was said we were all just as guilty as the man who pulled the trigger. What we need to look at is the question, "A-are there any remedies?" I think the Chairman is right. We are failing half the students. The others have the ability to progress within the system. If we manufactured shoes the way we taught children we would fit 10 percent of the feet and he indicated that is about the number of students we really fit. One of the things that stands out to me is seeing the hard core unemployed. When you mentioned the center cities, we think of the minorities. Using the blacks as an example, where there is a high percent of unemployed and drop-outs, the system doesn't seem to fit them too well, but Dr. Leon Sullivan has had a sucessful OIC phenomenon. CIP, I think, were the initials. The National Institute of Education has been working with them.

If I recall correctly, 67 percent of the students are finishing high school. They are motivated by looking to some individuals who are in the business world and the community who have an interest in those students and work with them so the students feel a sense of achievement.

I think the problem is trying to fit everybody in a mold. They have tended to want to isolate themselves from the community. The person who has finished his baccelaureate can think of his college

days as being the greatest time he had in his life. You aren't ready for that isolation, we know, when the baby is in the mother's arms or kindergarten. But sometime between that period and finishing high school, they are ready for isolation. In Rochester, Minnesota, we have taken another group, hard core individuals, who have been convicted of felonies. Here you have someone in the business world and the state hospital, for example, working with individuals with a phenomenal result. We have not seen it in the business world or in the education system but even with that hard core individual, there is a success story you wouldn't think is possible.

Look at Leon Sullivan. I read in the paper about OIC and I said if that is for real I want to see it. I recall Leon Sullivan going into a room, putting his arm around a black lady who a person wouldn't say was a very good-looking woman at all and saying, "You are beautiful." What she had accomplished was beautiful. She felt it; she felt she was worth something. It inspired me to see that kind of program. It is interesting to see what is happening in Philadelphia. I remember visiting Olney School, with half day schedules so all the students weren't there at the same time where they had to have a policeman on each corner in the school building. What are they trying to do to those students, denying the opportunity of the community to interrelate with them? Forty-six hundred students in that white community with half the students black was a threat. You have to develop a sense of community. Adult education must provide basic skills to persons who left high school without those basic skills. For parents, the most degrading thing is that they can't help their child to read. Through adult education, they find the means that will help them to read.

That is one of the reasons I like this Committee because, among all the failures, we are finding some things that work and that gives me hope. I am really excited as to what we will accomplish. We realize people are different and fit the programs to the people.

Mr. HEFTEL. A school superintendent made the statement when I was present, and it happened to be on television, that the diploma in high school didn't represent achievement but rather attendance.

As long as you have superintendents of schools who are willing to tell you on television that that diploma only represents necessary attendance, we have a serious problem. When you tell us half the people coming out of the system are not equipped to function in society without additional training and education, you tell us and yourselves that we just don't have a system for 100 percent of the people going through it, and whether it is 10 percent or 50 percent. Your shoe analogy is a good one and I do want to remember it, Mr. Quie, because it may be an easier way for people to realize the deterioration of the system. If at least half of all the students coming before our teachers are not achieving a level of adequacy, then the teachers are participating in a great degree of failure and it must be demoralizing.

Mr. DELKER. The programs in which we achieve the most success are community developed. Mr. Heftel, I can only agree I think our system is in trouble. I would like to qualify my earlier statement. We could give more attention at the professional end to simplify the requirements of society. The Department of Defense had a study

made of its manuals. They were written between the 6th and 16th grade level so they have spent money to write their manuals at a lower grade level.

Mr. HEFTEL. May I interrupt you? You say the manual was written from the level—

Mr. DELKER. Somewhere at the 6th to 16th grade level.

Mr. HEFTEL. Again you are saying if you address the adult population with an assumption of 6th grade completion—what are we doing as to that problem? Adult education is not the way you address that problem. You address this problem at the grammar and high school level. With adults in grade school and high school, we obviously have done a very poor job for about 50 percent of the students which means half the system is inefficient. It is a size 6 shoe for people with size 8 feet. It is going to hurt like the devil. I have a feeling this is the pain we are putting people through. This is our opportunity to find out what you in the leadership are proposing. The solution must be at grammar school and high school. It can't be at adult education unless you want to do away with a good deal of grammar school and high school, but you are forcing half the people to go through a system which cripples them where they have to pretend they read when they don't and write when they don't. It is devastating because they are sitting side by side with someone who does and they don't. They sit there for many hours forced to acknowledge their incompetency over and over for a number of years, then we have problems. I don't pretend to have solutions but I do believe that is where we have to be doing our concerned dialogue and applying our thought process and our funds, if they will accomplish anything, but I am not sure it is a case of money. It is a case of how we are teaching teachers and how we are relating school systems to living. I have a feeling what we, the Congress, should be giving you is not money but direction as to applying the money effectively; manufacturing the size of shoes that people need instead of shoes fitting a small percentage of the population.

Mr. DELKER. The solution has to be in both programs. The system has to stop producing 50 percent of the people who are not equipped. But the adult parent of that child is not without influence, whether educated or uneducated. Well, we can forget the adults of this country and put all our reform efforts on the elementary and secondary educational system. But there is research which says the children of educated parents learn better than those of noneducated parents. I can only speak as to the adult portion.

Mr. HEFTEL. We must look at the whole system and the fact that half of it is failing before you reach the sixth grade, I think we are remiss if we allow ourselves to get involved with an adult education program without addressing the more basic problem which is the failure at the high school and grammar school level to adapt the system to a significant size, over 50 percent.

Dr. EYRE. I know Mr. Quie has talked about some of these things before. I would give you five ideas which would address the issue of upgrading quality education at the elementary or secondary level.

I think there is a movement which should be supported by the enabling structure. You have to get into an upgraded system, because if your son is reading at a fifth grade level he may be

arithmetically computing at the third grade level. There has to be a movement at elementary level for an upgraded system.

I think at last we have come to realize for larger learning blocks of time. Fifty-three minutes in an elementary school for Dick and Jane and the reader book is not enough.

Typing, by the time you fire up the typewriter, that block of time in the beginning program in high school you hardly get started. We have to start looking at larger blocks of time. That is No. 2.

No. 3, I think we are returning to some of the old ideas of Max Rafferty of California, the return to basics.

The fourth, as we return to basics we are finding ourselves getting away from the extracurricular kinds of activities that society is dumping on us as educators, taking on all the problems of the community, the home, sex education, morals. We bus them now. We feed them. We even have breakfast programs now. Now we are going to start feeding them after school. In some educational institutions, the parents are not even picking up the child or the buses are not available to the child because mother or dad are not at home. So we are being asked to provide a 12-hour learning environment for children. I think we have to examine the frills of education and get away from that.

The fifth point, I believe we have to have surrogate parents more involved in the educational process with their children and their own education as well. Those are five areas quickly, off the top of my head, that I would like to see this Committee examine and I think they would bring about some significant attitudinal changes and provide a more conducive learning environment.

Also we should not look at the public schools as the only place where learning takes place. We should start looking at business and industry as a partner in the learning environment. As your superintendent friend said, it is a set time credential rather than a credential that shows competencies. I think we have to get away from a piece of paper that says, "I have suffered so long," and get to the fact that that person has some competencies which I, as a businessman, can share with you.

Mr. CORRADA. I feel constrained to make this statement, since what we have been touching upon is a matter of national priorities. I am glad to see that you are concerned with the educational problems facing this nation. I agree with you that education doesn't rank close to the top of any of our national priorities. As I listened to the Presidential debates last fall, the things which seemed to be in the minds of persons asking the questions of the candidates, were not related to the educational issue. The American people listened to the candidates talk about where we were, supposedly touching on those thoughts which concerned our people. We wish education would have been a higher national priority.

We are also realists. We don't see this educational system changing overnight. We feel that in the Adult Education Act we have a good system in place. Admittedly it is remedial, it might be little more than a Band-Aid but it is a Band-Aid for those involved in the program.

We have heard a lot of talk about a cabinet level for education, particularly in the campaign. I am suggesting until education be-

comes a national priority, until we get at some of the basic questions which NIE and some of the others have tried to get at but haven't because of lack of funds, we should serve that percentage of the population which has not been served yet. So until education reaches a higher national priority we need the adult education programs.

Mr. HEFTEL. Very quickly in conclusion, I am reminded of the fact I have a bill languishing somewhere in the House to create a separate Department of Education; Senator Ribicoff has one languishing in the Senate; the President spoke of one; Mr. Califano apparently is not interested in a separate Department of Education. As long as we bury education in the confusion of health and welfare and we try to substitute for half the people a system to catch up after they have left school because we continue to do it while they were in school, we have a problem. But I think you only address that problem by doing what we are doing today. I hope my remaining colleague, Mr. Quie, and I and the people within the system of education will be reminding ourselves continuously that we have got an inadequate system, not addressing itself to 100 percent or perhaps 40 or 50 percent or 60 percent student body.

That is the challenge which lies ahead and I am not in any way suggesting that we don't either acknowledge or finance the continuing need for adult education. But, as to the question of priorities, I have to again reiterate that you don't solve the problems of a building from the top down. You do it from the bottom up because, if the foundation gives, it doesn't matter what you do at the top. We are not doing a job with the basic structure with which we supply people some educational information, concepts, living experiences with which to go forward and effectively live.

We appreciate your being here today and hope we will all, including myself, keep in mind we don't have an educational system about which we feel we have pride. I don't care what it looks like in comparison with any other country, I don't think that is the way we measure anything. It would be like saying we should not worry about civil rights because we should compare our standards against those of others and based on their standards, we are not measuring up.

Thank you very much.

[Whereupon, at 11:30 a.m., the Subcommittee was adjourned to reconvene at 9:30 a.m., Wednesday, July 13, 1977.]

[Appendices 1-11 follow:]

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APPENDICES

APPENDIX 1

THE ADULT EDUCATION ACT

Short Title

Sec. 301. This title may be cited as the "Adult Education Act". 1/

Statement of Purpose

Sec. 302. It is the purpose of this title to expand educational opportunity and encourage the establishment of programs of adult public education that will enable all adults to continue their education to at least the level of completion of secondary school and make available the means to secure training that will enable them to become more employable, productive, and responsible citizens.

Definitions

Sec. 303. As used in this title--

(a) The term "adult" means any individual who has attained the age of sixteen.

(b) The term "adult education" means services or instruction below the college level (as determined by the Commissioner), for adults who--

(1) do not have a certificate of graduation from a school providing secondary education and who have not achieved an equivalent level of education, and

(2) are not currently required to be enrolled in schools.

(c) The term "adult basic education" means adult education for adults whose inability to speak, read, or write the English language constitutes a substantial impairment of their ability to get or retain employment commensurate with their real ability, which is designed to help eliminate such inability and raise the

1/ This is a compilation of the Adult Education Act, Public Law 91-230, and all of its amendments through October 12, 1976. (20 U.S.C. 1201-1211b)

level of education of such individuals with a view to making them less likely to become dependent on others, to improving their ability to benefit from occupational training and otherwise increasing their opportunities for more productive and profitable employment, and to making them better able to meet their adult responsibilities.

(d) The term "Commissioner" means the Commissioner of Education.

(e) The term "Community school program" is a program in which a public building, including but not limited to a public elementary or secondary school or a community or junior college, is used as a community center operated in conjunction with other groups in the community, community organizations, and local governmental agencies, to provide educational, recreational, cultural, and other related community services for the community that center serves in accordance with the needs, interests, and concerns of that community.

(f) The term "local educational agency" means a public board of education or other public authority legally constituted within a State for either administrative control or direction of public elementary or secondary schools in a city, county, township, school district, or other political subdivision of a State, or such combination of school districts or counties as are recognized in a State as an administrative agency for its public elementary or secondary schools, except that, if there is a separate board or other legally constituted local authority having administrative control and direction of adult education in public schools therein, such term means such other board or authority.

(g) The term "State" includes the District of Columbia, the Commonwealth of Puerto Rico and (except for the purposes of section 305(a)) Guam, American Samoa, the Trust Territory of the Pacific Islands, and the Virgin Islands.

(h) The term "State educational agency" means the State board of education or other agency or officer primarily responsible for the State supervision of public elementary and secondary schools, or if there is a separate State agency or officer primarily responsible for supervision of adult education in public schools then such agency or officer may be designated for the purpose of this title by the Governor or by State law. If no agency or officer qualifies under the preceding sentence, such term shall mean an appropriate agency or officer designated for the purposes of this title by the Governor.

(i) The term "academic education" means the theoretical, the liberal, the speculative, and classical subject matter found to compose the curriculum of the public secondary school.

(j) The term "institution of higher education" means any such institution as defined by section 801(a) of the Elementary and Secondary Education Act of 1965.

Grants to States for Adult Education

Sec. 304. The Commissioner is authorized to make grants to States, which have State plans approved by him under section 306 for the purposes of this section, to pay the Federal share of the cost of (1) the establishment or expansion of adult basic education programs to be carried out by local educational agencies and private nonprofit agencies, and (2) the establishment or expansion of adult education programs to be carried out by local educational agencies and private nonprofit agencies.

Allotment for Adult Education

Sec. 305. (a) From the sums available for purposes of section 304(b)2/ for the fiscal year ending June 30, 1972, and for any succeeding fiscal year, the Commissioner shall allot (1) not more than 1 per centum thereof among Guam, American Samoa, the Trust Territory of the Pacific Islands, and the Virgin Islands according to their respective needs for assistance under such section, and (2) $150,000 to each State. From the remainder of such sums he shall allot to each State an amount which bears the same ratio to such remainder as the number of adults who do not have a certificate of graduation from a school providing secondary education (or its equivalent) and who are not currently required to be enrolled in schools in such State bears to the number of such adults in all States. From the sums available for purposes of section 304(b)3/ for the fiscal year ending June 30, 1970, and the succeeding fiscal year, the Commissioner shall make allotments in accordance with section 305(a) of the Adult Education Act of 1966 as in effect on June 30, 1969.

(b) The portion of any State's allotment under subsection (a) for a fiscal year which the Commissioner determines will not be required, for the period such allotment is available, for carrying out the State plan approved under this title shall be available for reallotment from time to time, on such dates

2/ P.L. 93-380 repealed subsection 304(a) and redesignated subsection 304(b) as section 304.

3/ Ibid.

during such period as the Commissioner shall fix, to other States in proportion to the original allotments to such States under subsection (a) for such year, but with such proportionate amount for any of such other States being reduced to the extent it exceeds the sum which the Commissioner estimates such State needs and will be able to use for such period for carrying out its State plan approved under this title, and the total of such reductions shall be similarly reallotted among the States whose proportionate amounts are not so reduced. Any amount reallotted to a State under this subsection during a year shall be deemed part of its allotment under subsection (a) for such year.

State Plans

Sec. 306. (a) Any State desiring to receive its allotment of Federal funds for any grant under this title shall submit through its State educational agency a State plan. Such State plan shall be in such detail as the Commissioner deems necessary, and shall--

(1) set forth a program for the use of grants, in accordance with section 304(b)[4/], which affords assurance of substantial progress with respect to all segments of the adult population, including institutionalized persons, and all areas of the State, toward carrying out the purposes of such section, That not to exceed 20 per centum of the funds used to carry out this Act for any fiscal year may be used for the education of institutionalized persons;

(2) provide for the administration of such plan by the State educational agency;

(3) provide for cooperative arrangements between the State educational agency and the State health authority authorizing the use of such health information and services for adults as may be available from such agencies and as may reasonably be necessary to enable them to benefit from the instruction provided pursuant to this title;

(4) provide for grants to public and private nonprofit agencies for special projects, teacher-training, and research;

4/ Ibid., p. 3.

(5) provide for cooperation with Community Action programs, Work Experience programs, VISTA, Work Study, and other programs relating to the antipoverty effort;

(6) provide for cooperation with manpower development and training programs and occupational education programs, and for coordination of programs carried on under this title with other programs, including reading improvement programs, designed to provide reading instruction for adults carried on by State and local agencies;

(7) provide that such agency will make available not to exceed 20 per centum of the State's allotment for programs of equivalency for a certificate of graduation from a secondary school;

(8) provide that such agency will make such reports to the Commissioner, in such form and containing such information, as may reasonably be necessary to enable the Commissioner to perform his duties under this title and will keep such records and afford such access thereto as the Commissioner finds necessary to assure the correctness and verification of such reports;

(9) provide such fiscal control and fund accounting procedures as may be necessary to assure proper disbursement of and accounting for Federal funds paid the State under this title (including such funds paid by the State to local educational agencies and private nonprofit agencies);

(10) provide that special emphasis be given to adult basic education programs except where such needs can be shown to have been met in the State;

(11) provide that special assistance be given to the needs of persons of limited English-speaking ability (as defined in section 703(a) of title VII of the Elementary and Secondary Education Act of 1965), by providing bilingual adult education programs in which instruction is given in English and, to the extent necessary to allow such persons to progress effectively through the adult education program, in the native language of such persons, carried out in coordination with programs of bilingual education assisted under such title VII and bilingual vocational education programs under the Vocational Education Act of 1963; and

(12) provide such further information and assurances as the Commissioner may by regulation require.

(b) The Commissioner shall not finally disapprove any State plan submitted under this title, or any modification thereof, without first affording the State educational agency reasonable notice and opportunity for a hearing.

Payments

Sec. 307. (a) Except as provided in subsection (b), the Federal share of expenditures to carry out a State plan shall be paid from a State's allotment available for grants to such State. The Federal share for each State shall be 90 per centum, except that with respect to the Trust Territory of the Pacific Islands such Federal share shall be 100 per centum.

(b) No payment shall be made to any State from its allotment for any fiscal year unless the Commissioner finds that the fiscal effort per student or the amount available for expenditure by such State for adult education from non-Federal sources for the preceding fiscal year was not less than such fiscal effort per student or such amount available for expenditure for such purposes from such sources during the second preceding fiscal year, but no State shall be required to use its funds to supplant any portion of the Federal share.

Operation of State Plans; Hearings and Judicial Review

Sec. 308. (a) Whenever the Commissioner, after reasonable notice and opportunity for hearing to the State educational agency administering a State plan approved under this title, finds that--

(1) the State plan has been so changed that it no longer complies with the provisions of section 306, or

(2) in the administration of the plan there is a failure to comply substantially with any such provision, the Commissioner shall notify such State agency that no further payments will be made to the State under this title (or, in his discretion, that further payments to the State will be limited to programs under or portions of the State plan not affected by such failure), until he is satisfied that there will no longer be any failure to comply. Until he is so satisfied, no further payments may be made to such State under this title (or payments shall be limited to programs under or portions of the State plan not affected by such failure).

(b) A State educational agency dissatisfied with a final action of the Commissioner under section 306 or subsection (a) of this section may appeal to the United States court of appeals for the circuit in which the State is located, by filing a petition with such court within sixty days after such final action. A copy of the petition shall be forthwith transmitted by the clerk of the court to the Commissioner or any officer designated by him for that purpose. The Commissioner thereupon shall file in the court the record of the proceedings on which he based his action, as provided in section 2112 of title 28, United States Code. Upon the filing of such petition, the court shall have jurisdiction to affirm the action of the Commissioner or to set it aside, in whole or in part, temporarily or permanently, but until the filing of the record, the Commissioner may modify or set aside his order. The findings of the Commissioner as to the facts, if supported by substantial evidence, shall be conclusive, but the court, for good cause shown, may remand the case to the Commissioner to take further evidence, and the Commissioner may thereupon make new or modified findings of fact and may modify his previous action, and shall file in the court the record of the further proceedings. Such new or modified findings of fact shall likewise be conclusive if supported by substantial evidence. The judgment of the court affirming or setting aside, in whole or part, any action of the Commissioner shall be final, subject to the review by the Supreme Court of the United States upon certiorari or certification as provided in section 1254 of title 28, United States Code. The commencement of proceedings under this subsection shall not, unless so specifically ordered by the court, operate as a stay of the Commissioner's action.

Use of Funds for Special Experimental Demonstration Projects and Teacher Training

Sec. 309. Of the funds allotted to a State under section 305 for a fiscal year, not less than 10 per centum shall be used for--

(1) special projects which will be carried out in furtherance of the purposes of this title, and which--

(A) involve the use of innovative methods, including methods for educating persons of limited English-speaking ability, systems, materials, or programs which may have national significance or be of special value in promoting effective programs under this title, or

(B) involve programs of adult education, including education for persons of limited English-speaking ability, which are part of community school programs, carried out in cooperation with other Federal, federally assisted, State, or local programs which have unusual promise in promoting a comprehensive or coordinated approach to the problems of persons with educational deficiencies; and

(2) training persons engaged, or preparing to engage, as personnel in programs designed to carry out the purposes of this title.

Clearinghouse on Adult Education

Sec. 309A. The Commissioner shall establish and operate a clearinghouse on adult education, which shall collect and disseminate to the public information pertaining to the education of adults and adult education programs, together with ways of coordinating adult education programs with manpower and other education programs. The Commissioner is authorized to enter into contracts with public agencies or private organizations to operate the clearinghouse established or designated under this section.

Special Projects for the Elderly

Sec. 310. (a) The Commissioner is authorized to make grants to State and local educational agencies or other public or private non-profit agencies for programs to further the purpose of this Act by providing educational programs for elderly persons whose ability to speak and read the English language is limited and who live in an area with a culture different than their own. Such programs shall be designed to equip such elderly persons to deal successfully with the practical problems in their everyday life, including the making of purchases, meeting their transportation and housing needs, and complying with governmental requirements such as those for obtaining citizenship, public assistance and social security benefits, and housing.

(b) For the purpose of making grants under this section there are authorized to be appropriated such sums as may be necessary for the fiscal year ending June 30, 1973, and each succeeding fiscal year ending prior to July 1, 1975.

(c) In carrying out the program authorized by this section, the Commissioner shall consult with the Commissioner of the Administration on Aging for the purpose of coordinating, where practicable, the programs assisted under this section with the programs assisted under the Older Americans Act of 1965.

State Advisory Councils

Sec. 310A. (a) Any State which receives assistance under this title may establish and maintain a State advisory council, or may designate and maintain an existing State advisory council, which shall be, or has been, appointed by the Governor or, in the case of a State in which members of the State board which governs the State education agency are elected (including election by the State legislature), by such board.

(b)(1) Such a State advisory council shall include as members persons who, by reason of experience or training, are knowledgeable in the field of adult education or who are officials of the State educational agency or of local educational agencies of that State, persons who are or have received adult educational services, and persons who are representative of the general public.

(2) Such a State advisory council, in accordance with regulations prescribed by the Commissioner, shall--

(A) advise the State educational agency on the development of, and policy matters arising in, the administration of the State plan approved pursuant to section 306;

(B) advise with respect to long-range planning and studies to evaluate adult education programs, services, and activities assisted under this Act; and

(C) prepare and submit to the State educational agency, and to the National Advisory Council on Adult Education established pursuant to section 311, an annual report of its recommendations, accompanied by such additional comments of the State educational agency as that agency deems appropriate.

(c) Upon the appointment of any such advisory council, the appointing authority under subsection (a) of this section shall inform the Commissioner of the establishment of, and membership of, its State advisory council. The Commissioner shall, upon receiving such information, certify that each such council is in compliance with the membership requirements set forth in subsection (b)(1) of this section.

(d) Each such State advisory council shall meet within thirty days after certification has been accepted by the Commissioner under subsection (c) of this section and select from among its membership a chairman. The time, place, and manner of subsequent meetings shall be provided by the rules of the

State advisory council, except that such rules shall provide that each such council meet at least four times each year, including at least one public meeting at which the public is given the opportunity to express views concerning adult education.

(e) Each such State advisory council is authorized to obtain the services of such professional, technical, and clerical personnel as may be necessary to enable them to carry out their functions under this section.

National Advisory Council on Adult Education

Sec. 311. (a) The President shall appoint a National Advisory Council on Adult Education (hereinafter in this section referred to as the "Council").

(b) The Council shall consist of fifteen members who shall, to the extent possible, include persons knowledgeable in the field of adult education, State and local public school officials, and other persons having special knowledge and experience, or qualifications with respect to adult education, including education for persons of limited English-speaking ability in which instruction is given in English and, to the extent necessary to allow such persons to progress effectively through the adult education program, in the native language of such persons, and persons representative of the general public. The Council shall meet initially at the call of the Commissioner and elect from its number a chairman. The Council will thereafter meet at the call of the chairman, but not less often than twice a year. Subject to section 448(b) of the General Education Provisions Act, the Council shall continue to exist until July 1, 1978.

(c) The Council shall advise the Commissioner in the preparation of general regulations and with respect to policy matters arising in the administration of this title, including policies and procedures governing the approval of State plans under section 306 and policies to eliminate duplication, and to effectuate the coordination of programs under this title and other programs offering adult education activities and services.

(d) The Council shall review the administration and effectiveness of programs under this title, make recommendations with respect thereto, and make annual reports to the President of its findings and recommendations (including recommendations for changes in this title and other Federal laws relating to adult education activities and services). The President shall transmit each such report to the Congress together with his comments and recommendations. The Secretary of Health, Education, and Welfare shall coordinate the work of the Council with that of other related advisory councils.

Limitation

Sec. 312. No grant may be made under this title for any educational program, activity, or service related to sectarian instruction or religious worship, or provided by a school or department of divinity. For purposes of this section, the term "school or department of divinity" means an institution or a department or branch of an institution whose program is specifically for the education of students to prepare them to become ministers of religion or to enter upon some other religious vocation, or to prepare them to teach theological subjects.

Appropriations Authorized

Sec. 313. (a) There are authorized to be appropriated $160,000,000 for the fiscal year ending June 30, 1970, $200,000,000 for the fiscal year ending June 30, 1971, $225,000,000 for each of the fiscal years ending June 30, 1972, and June 30, 1973, $150,000,000 for each of the fiscal years ending June 30, 1974, and June 30, 1975, $175,000,000 for the fiscal year ending June 30, 1976, and $200,000,000 for each of the fiscal years ending June 30, 1977, and June 30, 1978: Provided, That, effective with respect to fiscal years after June 30, 1974, grants to each State under section 305 shall not be less than 90 per centum of the grants made to such State agencies in fiscal year 1973, for the purposes of this title (other than sections 310 and 314).

(b) There are further authorized to be appropriated for each such fiscal year such sums, not to exceed 5 per centum of the amount appropriated pursuant to subsection (a) for such year, as may be necessary to pay the cost of the administration and development of State plans, and other activities required pursuant to this title. For the fiscal year ending June 30, 1970 and the succeeding fiscal year, nothing in this subsection shall be construed to prohibit the use of any amounts appropriated pursuant to this Act to pay such costs, subject to such limitations as the Commissioner may prescribe.

Improvement of Educational Opportunities for Adult Indians

Sec. 314. (a) The Commissioner shall carry out a program of making grants to State and local educational agencies, and to Indian tribes, institutions, and organizations, to support planning, pilot, and demonstration projects which are designed to plan for, and test and demonstrate the effectiveness of, programs for providing adult education for Indians--

(1) to support planning, pilot, and demonstration projects which are designed to test and demonstrate the effectiveness of programs for improving employment and educational opportunities for adult Indians;

(2) to assist in the establishment and operation of programs which are designed to stimulate (A) the provision of basic literacy opportunities to all nonliterate Indian adults, and (B) the provision of opportunities to all Indian adults to qualify for a high school equivalency certificate in the shortest period of time feasible;

(3) to support a major research and development program to develop more innovative and effective techniques for achieving the literacy and high school equivalency goals;

(4) to provide for basic surveys and evaluations thereof to define accurately the extent of the problems of illiteracy and lack of high school completion on Indian reservations;

(5) to encourage the dissemination of information and materials relating to, and the evaluation of the effectiveness of, education programs which may offer educational opportunities to Indian adults.

(b) The Commissioner is also authorized to make grants to, and contracts with, public agencies, and institutions, and Indian tribes, institutions, and organizations for--

(1) the dissemination of information concerning educational programs, services, and resources available to Indian adults, including evaluations thereof; and

(2) the evaluation of the effectiveness of federally assisted programs in which Indian adults may participate in achieving the purposes of such programs with respect to such adults.

(c) Applications for a grant under this section shall be submitted at such time, in such manner, and contain such information, and shall be consistent with such criteria, as may be established as requirements in regulations promulgated by the Commissioner. Such applications shall--

(1) set forth a statement describing the activities for which assistance is sought;

(2) provide for an evaluation of the effectiveness of the project in achieving its purposes and those of this section.

The Commissioner shall not approve an application for a grant under subsection (a) unless he is satisfied that such application, and any documents submitted with respect thereto, indicate that there has been adequate participation by the individuals to be served and tribal communities in the planning and development of the project, and that there will be such a participation in the operation and evaluation of the project. In approving applications under subsection (a), the Commissioner shall give priority to applications from Indian educational agencies, organizations, and institutions.

(d) For the purpose of making grants under this section there are hereby authorized to be appropriated $5,000,000 for the fiscal year ending June 30, 1973, and $8,000,000 for each of the succeeding fiscal years ending prior to July 1, 1978.

Emergency Adult Education Program for Indochina Refugees

Sec. 315. (a) From the appropriations authorized for the period beginning July 1, 1976, and ending September 30, 1977, but not appropriated for other programs under this title, the Commissioner shall carry out a program of making grants to State and local education agencies for such years for the purpose of operating special adult education programs for Indochina refugees, as defined in section 3 of the Indochina Migration and Refugee Assistance Act of 1975. Such grants may be used for--

(1) programs of instruction of adult refugees in basic reading, mathematics, development and enhancement of necessary skills, and promotion of literacy among refugee adults, for the purpose of enabling them to become productive members of American society;

(2) administrative costs of planning and operating such programs of instruction;

(3) educational support services which meet the needs of adult refugees, including but not limited to guidance and counseling with regard to educational, career, and employment opportunities; and

(4) special projects designed to operate in conjunction with existing Federal and non-Federal programs and activities to develop occupational and related skills for individuals, particularly programs authorized under the Comprehensive Employment and Training Act of 1973 or under the Vocational Education Act of 1963.

(b) The Commissioner shall not approve an application for a grant under this section unless (1) in the case of an application by a local education agency, it has been reviewed by the respective State education agency which shall provide assurance to the Commissioner that, if approved by the Commissioner, the grant will not duplicate existing and available programs of adult education which meet the special needs of Indochina refugees, and (2) the application includes a plan acceptable to the Commissioner which provides reasonable assurances that adult refugees who are in need of a program are located in an area near that State or local education agency, and would participate in the program if available.

(c) Applications for a grant under this section shall be submitted at such time, in such manner, and contain such information as the Commissioner may reasonably require.

(d) Notwithstanding the provisions of sections 305 and 307(a), the Commissioner shall pay all the costs of applications approved by him under this section.

LEGISLATIVE HISTORY

P.L. 89-750, Nov. 3, 1966, Title III, 80 Stat. 1191;
P.L. 90-247, Jan. 2, 1968, Title V, 81 Stat. 815;
P.L. 90-576, Oct. 16, 1968, 81 Stat. 1095;
P.L. 91-230, April 13, 1970, Title III, 84 Stat. 159;
P.L. 91-600, Dec. 30, 1970, 84 Stat. 1669;
P.L. 92-318, June 23, 1972, 86 Stat. 342;
P.L. 93-29, May 3, 1973, 87 Stat. 59;
P.L. 93-380, Aug. 21, 1974, Title VI, Part A, 88 Stat. 576;
P.L. 94-405, Sept. 10, 1976, Title III; and
P.L. 94-482, Oct. 12, 1976, Title III.

APPENDIX 2

federal register

WEDNESDAY, APRIL 23, 1975

WASHINGTON, D.C.

Volume 40 ■ Number 79

PART II

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE

Office of Education

■

STATE ADULT EDUCATION PROGRAMS

Financial Assistance

94-585 O - 77 - 7

Title 45—Public Welfare

CHAPTER I—OFFICE OF EDUCATION, DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE

PART 166—STATE ADULT EDUCATION PROGRAMS

A notice of proposed rulemaking was published on January 21, 1975, at 40 FR 3382–3388, inviting public comments on regulations of the Secretary of Health, Education, and Welfare, prescribing certain policies and requirements with respect to financial assistance for State adult education programs under the Adult Education Act, as amended (Pub. L. 91–230). Interested persons were given 30 days in which to submit comments, suggestions, or objections regarding the proposed regulations.

In accordance with the requirements of the Education Amendments of 1974 (Pub. L. 93–380) and pursuant to the authority contained in the Adult Education Act, as amended, 20 U.S.C. 1201 et seq., the Commissioner of Education, with the approval of the Secretary of Health, Education, and Welfare, amends Title 45, Part 166 of the Code of Federal Regulations to read as set forth below. The Commissioner also establishes national priorities for the program for the purpose of providing guidance to the States. These priorities follow the text of the regulations.

1. *Program purpose.* The Adult Education Act provides for the encouragement of State-administered programs of adult public education. Section 306 of the Act provides for programs of instruction that will enable all adults to continue their education to at least the level of completion of secondary school and make available the means to secure training that will enable them to become more employable, productive, and responsible citizens. Section 309 provides support for special experimental demonstration projects and for training persons engaged, or preparing to engage, as personnel in programs designed to carry out the purposes of the Act. Authority for the administration of section 309 was transferred from the U.S. Commissioner of Education to the State educational agencies by the Education Amendments of 1974.

2. *Section 503, Education Amendments of 1972 (Pub. L. 92–318), procedures and effect.* In accordance with section 503 of the Education Amendments of 1972, a notice of proposed rulemaking to amend these regulations (45 CFR Part 166) was published in the FEDERAL REGISTER on May 31, 1974, at 39 FR 19223, and a public hearing was held on July 2, 1974 in Washington, D.C. However, following the public hearing and before final regulations could be published in the FEDERAL REGISTER, the Education Amendments of 1974 (Pub. L. 93–380) were enacted. Inasmuch as the Education Amendments of 1974 authorize new provisions under the Adult Education Act, a second Notice of Proposed Rulemaking, which contains both the final changes resulting from the section 503 study and the new provisions of Pub. L. 93–380, was issued in the FEDERAL REGISTER on January 21, 1975.

3. *New State application procedure.* Section 434(b) of the General Education Provisions Act as added by section 511 of the Education Amendments of 1974 (Pub. L. 93–380) provides for a new State application procedure consisting of a submission of a General Application and Annual Program Plans. Regulations implementing section 434(b) will be issued by the Commissioner.

Under section 434(b)(1)(A), any State which applies, contracts, or submits a plan, for participation in any Office of Education program in which Federal funds are made available to local educational agencies through or under the supervision of the State educational agency, shall submit to the Commissioner a general application which includes five assurances. The first four assurances deal with proper administration, accounting procedures, reports, and non-supplanting of Federal funds. The fifth assurance is that the State will submit to, and have approved by, the Commissioner, an annual program plan in accordance with section 434(b)(1)(B), for each program in which the State agency wishes to participate.

Accordingly, States intending to apply for Federal funds under the Adult Education Act must submit the five required assurances. The State must also submit an annual program plan for the approval of the U.S. Commissioner of Education, before funds can be released for adult education programs. The nature and scope of the Adult Education Annual Program Plan is outlined in these regulations. These regulations are consistent with the specific State plan requirements of the Adult Education Act. All references to the "State Plan," however, have been replaced by "annual program plan" in these regulations.

4. *Comments.* The following comments, suggestions, questions and criticisms were submitted in writing in response to the proposed rules issued on January 21, 1975. After the summary of each comment, a response is set forth stating the changes which have been made in the regulations or the reasons why no change is deemed necessary or appropriate. The comments are grouped based on the sections affected, arranged in sequence.

(1) Section 166.1 *Comment.* One commenter has suggested that in order to emphasize the applicability of the Civil Rights Regulations which effectuate the provisions of Title VI of the Civil Rights Act of 1964 and Title IX of the Education Amendments of 1972, an appropriate reference should be incorporated into this set of regulations.

Response. The General Education Provision Regulations (GEPR), particularly § 100b.282 (a) and (b), call attention to the requirement that Federal financial assistance is subject to the regulations promulgated under both Title VI of the Civil Rights Act and Title IX of the Education Amendments of 1972. The scope of section 100b of GEPR has a direct application to Part 166, Adult Education State Programs. To repeat the mandates of section 100b in Part 166 would defeat the express purpose of the General Education Provisions Regulations, which is to publish in one place regulations which affect the various education programs generally.

(2) Section 166.1(a) *Comment.* Commenters suggested that the language of § 166.1(a) which sets forth the general purpose of the Act be modified to delete the reference to "all adults." These commenters objected to this language because it would allow aliens to participate in adult education programs.

Response. The statement of purpose in section 302 of the Act is broad in scope and provides for "adult public education that will enable all adults to continue their education." This statutory reference to "all adults" does include aliens (one born in or belonging to another country who has not acquired American citizenship by naturalization) who are properly in this country. We assume, however, that Congress did not contemplate the Act to embrace aliens who are illegally in this country.

It should also be pointed out that in recent years, the Supreme Court has held that classifications which have a tendency to discriminate against persons of a discernible and stigmatized status to be inherently suspect. In "Sugarman v. Dougall" 413 US 634 (1973), the Court ruled that a State could not limit civil service employment to American citizens. The Court held that aliens as a class are a prime example of a discrete and "insular minority for whom heightened judicial solicitude is appropriate."

(3) Sections 166.1(a) and 166.2 *Comment.* A considerable degree of confusion was expressed by various commenters as to whether the secondary school graduate who cannot function at a level commensurate with the legislative intent of the law must be excluded from participating in adult education programs. This question arises in connection with the purpose provision of § 166.1 (a) and the definition of institutionalized person (§ 166.2) which is prefaced with the phrase "an adult * * * who does not have a certificate of graduation from a school providing secondary education * * *."

Response. The clear objective of the Adult Education Act (sections 302 and 306) is to expand educational opportunities for adults and encourage the development of programs which would enable all adults to continue their education to at least the level of completion of secondary school (see Sen. Rep. No. 93–763, p. 58 (1974)).

An adult who does have a certificate of graduation from a school providing secondary education but who is functioning at less than the secondary competency, is not precluded from enrolling in adult education programs. In addition, programs of a post high school nature which offer instruction to adults

to continue their education to at least the level of completion of secondary school are eligible for assistance. For example, remedial reading, writing or computational courses for individuals functioning at less than a secondary grade competency which are conducted by community colleges are eligible for assistance.

(4) Section 166.3 *Comment.* A commenter suggested amending the definition of "institution of higher education" in § 166.2 to reflect certain areas of education in which there is a need for qualified personnel in addition to the traditional fields of education for which funds have usually been provided.

Response. The definition of "institution of higher education" is set forth in section 303(j) as any such institution defined by 801(a) of the Elementary and Secondary Education Act (ESEA). Accordingly, the definition in ESEA has been incorporated into § 166.2. No change is deemed necessary.

(5) Section 166.5 *Comment.* A commenter objected to the requirement set forth in § 166.5(e) which directs State Advisory Councils to send an additional copy of their annual report of its recommendations to the U.S. Commissioner of Education.

Response. The statutory authority for this requirement is found in section 422 (a)(3) of the General Education Provisions Act, 20 U.S.C. 1231a(a)(3). This citation was inadvertently omitted from the proposed rules and, therefore, appears in the final rules after § 166.5(e). The burden placed on the councils by this requirement is minimal in view of the fact that a copy of the report must be submitted to the National Advisory Council on Adult Education. Furthermore, such a report will assist the Commissioner in measuring the effectiveness of adult education programs in the States.

(6) Section 166.11 *Comment.* A commenter suggested adding the word "improvement" in the first sentence of § 166.11(a).

Response. The annual program plan encompasses all activities conducted under the authority of sections 309 and 310 of the Act. The improvement of existing programs is an authorized activity under section 309. Therefore, § 166.11(a) has been amended to reflect this change.

(7) Section 166.12 *Comment.* A commenter suggested amplifying § 166.12(b) to require that plans of local educational agencies reflect a cognizance of local manpower programs in their area.

Response. This vital need is addressed § 166.13 (e), (f) and (g). These provisions require the State agencies in their planning process to give consideration to programs under manpower training as well as other related programs. Accordingly, no change has been made in the regulation.

(8) Section 166.12 *Comment.* Several commenters question the Office of Education's jurisdictional base in setting forth criteria and procedures in § 166.12 (b)(2) to be incorporated into the annual program plan for section 309 activities. The thrust of this argument is that such procedures severely restrict the authority vested in the States for section 309 activities.

Response. The list of criteria set forth in § 166.12(b)(2) does not amount to a usurpation of the State's authority in awarding section 309 grants and contracts. The purpose of incorporating these factors into the annual program plan is to assure both a proper and efficient administration of section 309 funding by the States. The regulations still leave considerable latitude to the States for the implementation of section 309.

(9) § 166.12 *Comment.* Several comments questioned the legality of mandating the annual program plan to set forth the section 309 policies and procedures in §§ 166.12(b)(2) and 166.22, asserting that there is no statutory authority for such a requirement.

Response. The inclusion of a requirement in the proposed regulation that the State set forth the policies and procedure under which the State must use section 309 funds in its annual program plan is not violative of the Act. States receive a single allotment to carry out the provisions of the legislation and section 306 requires that any State desiring to receive "its allotment" of Federal funds under the Act must make provisions for the utilization of "all funds" in the annual program plan. (Emphasis supplied.) Since section 309 funds are part of a State's allotment, the policies for expenditure of these funds must be incorporated into the annual program plan. Accordingly, the references to section 309 planning in §§ 166.12(b)(2) and 166.22 in the Notice of Proposed Rulemaking will be maintained.

(10) Section 166.12 *Comment.* A commenter objected to the assurance of free competition in the awarding of section 309 funds in § 166.12(b)(2)(i).

Response. Free and open competition is mandated in all procurement transactions of the State agency by § 1000.103 of the General Education Provisions Regulations. Since this requirement applies to all contract negotiation, the State must assure free competition in the awarding of contracts under section 309. Accordingly, § 166.12(b)(2)(i) will be amended to reflect this clarification.

(11) Section 166.12 *Comment.* Several commenters questioned the accuracy of the legal citation for § 166.12(b)(4).

Response. The legal citation for § 166.12(b)(4) was incorrectly published as Subpart P of 45 CFR Part 100b. The correct citation is Subpart Q. The regulation has been amended to reflect this change.

(12) Section 166.12 *Comment.* A commenter suggested that § 166.12(c) be amended to allow a specific percentage set aside for programs for the mentally handicapped who are not in institutions.

Response. The Cranston Amendment in section 421 of the General Education Provisions Act (20 U.S.C. 1231) prohibits any funds to be apportioned, allocated, or otherwise distributed in any manner or by any method different from that specified in the law authorizing the appropriation. Accordingly, no change has been made in the regulations.

(13) Section 166.12 *Comment.* A commentor asked if programs for institutionalized persons under § 166.12(d) are intended to serve those in correctional institutions or those in institutions for the mentally or physically handicapped.

Response. "Institutionalized person," as defined in § 166.2, includes both of these target groups. Consequently, no change is necessary.

(14) Section 166.12 *Comment.* Commenters suggested that § 166.12(e) be amended to include, under programs of bilingual adult education, persons who are deaf and who use manual sign language as their medium of communication.

Response. Section 306(a)(11) of the Act provides that "special assistance be given to the needs of persons of limited English-speaking ability (as defined in section 703(a) of title VII of the Elementary and Secondary Education Act of 1965) by providing bilingual adult education programs * * *." Instruction is to be given in English and, to the extent necessary to allow such persons to progress effectively through the adult education program, in the native language of such persons. It is clear from both the statutory language and legislative history of title VII of ESEA that Congress never contemplated that bilingual programs would be provided to the hearing-impaired. It should be pointed out, however, that programs for institutionalized adults serve the physically handicapped. Accordingly, no change in the regulations is deemed necessary.

(15) Section 166.13 *Comment.* Several commenters suggested the deletion of manpower development and training programs in § 166.13(f) in view of the fact that the Manpower Development and Training Act is no longer a reality.

Response. Although the Manpower Development and Training Act was superseded by the Comprehensive Employment Training Act (CETA), both the Adult Education Act and supporting legislative history make numerous references to coordination with manpower training programs. The House Conference Report accompanying H.R. 69 (Report No. 93-1211) requires the annual program plan to "provide for coordination with manpower development and traning programs and occupational education programs." The references to manpower training in the regulations, therefore, were purposely included. Coordination and cooperation with these related programs should be encouraged in the development of the annual program plan.

(16) Section 166.13 *Comment.* A commenter suggested amending § 166.13(f) by adding language that where adult education activity is carried out in a CETA Prime Sponsor's area, the Prime Sponsor should receive a copy of the Adult Education Annual Program Plan

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and be given the opportunity to comment upon arrangements made by the State educational agency to address the needs for adult education within the jurisdiction of the spo worship.

Response. T. e provision for the input of a CETA Prime Sponsor during the formulation sta e of the Adult Education Annual Progr i Plan is set forth in § 166.13(f). e State educational agency shou d provide the opportunity to the CET. rime Sponsor to comment during th planning stage. This does not necessitate, however, that a formal arrangement be adopted by the State educational agency to allow final review and approval of the annual program plan by the Prime Sponsor. The Prime Sponsor should be given the opportunity to comment during the formulation of the plan.

(17) Section 166.14 *Comment.* A commente: asked whether the provision set forth in § 166.14(a) for a scheduled public meeting to review the annual program plan is mandatory.

Response. No legal or statutory basis exists to require scheduled public meetings to review annual program plans. However, it is recommended that the State educational agency provide for at least one public meeting each year at which the public is given an opportunity to express views concerning adult education. The proposed regulations have been amended in order to clarify this position.

(18) Section 166.15 *Comment.* A commenter questioned the utility of incorporating a reference to OEPR § 1009.29 for budget revisions in § 166.15.

Response. Since the express purpose of the OEPR is to publish in one place regulations which affect the various education programs generally, the reference to budget revisions in § 166.15 amounts to a duplication. Therefore, the comment has been accepted and § 166.15 (a) has been deleted in the final regulations.

(19) Section 166.23 *Comment.* A commenter posed the following hypothetical: Since a State must use not less than 15 percent of the funds allotted to it for special projects and teacher training, would an expenditure of 100 percent of the Federal funds for these activities be violative of section 309 of the Act and § 166.23 of the regulations?

Response. Even though no statutory ceiling is imposed in section 309 for special projects and teacher training, expenditures for 309 activities substantially above 15 percent would defeat the purpose of the Act as expressed in section 302 which is to provide instruction to enable all adults to continue their education to at least the level of completion of secondary school. The Senate Committee on Labor and Public Welfare addressed itself to this question when it reduced the amount for section 309 activities from 20 percent to 15 percent. (Sen. Rep. No. 93-1026, p. 139 (1974).)

(20) Section 166.22 *Comment.* A commenter suggested that the scope of special projects set forth in § 166.22(a) be expanded to include research.

Response. Section 309 of the Act does not prescribe authority for research. Section 309(a)(4) of the Act, however, does provide authority for grants to public and private non-profit agencies for research. Under the statute, only grants may be used for research.

(21) Section 166.23 *Comment.* Numerous comments recommended that "individuals" be deleted as eligible applicants for special demonstration and teacher training projects in § 166.23 (a)(4). A variety of factors were indicated in these comments for the deletion of "individuals," especially because the category was deemed too broad and because the category provides no protection to the section 309 program from those whose primary interest might be self promotion.

Response. In view of the fact that Congress did not impose any prohibitions on the list of eligible recipients for section 309 projects, individuals would appear to be eligible unless a State has a duly issued proscription against State's grants and contracts to individuals. Therefore, no change has been made in § 166.23 at this time.

(22) Section 166.25 *Comment.* Commenters suggested the deletion of printing national priorities by the U.S. Office of Education in § 166.25 because they are not specifically mandated by statute.

Response. The purpose of publishing national priorities is to provide a clear perspective on the adult education program in order to assure coordination and to assure that the direction of the Federal effort in this area is meeting the pressing needs of the consumer. The national priorities will allow the State agencies to be aware of what the Commissioner considers important in the field of adult education. The statutory authority for requiring State education agencies to set forth in their annual program plans an indication as to how State priorities relate to the national priorities is found in section 422(a)(1) and 422(a)(3) of the General Education Provisions Act (20 U.S.C. 1231a(a)(1); 20 U.S.C. 1231a(a)(3)). The textual language of § 166.25 emphasizes the fact that the national priorities are only advisory. The State may take these priorities into consideration for their guidance in the development of the annual program plan. No change has been made in the regulations.

(23) Section 166.30 *Comment.* A commenter suggested that § 166.30(a) (redesignated as § 166.28(a) in the regulations) be expanded to include Assistant Regional Commissioner of Occupational and Adult Education Programs in the dissemination of information.

Response. In light of section 403(c)(2) of the General Education Provisions Act, as added by section 503 of Pub. L. 93-380, this comment has been accepted and § 166.28(a) has been amended accordingly. Subparagraph B of section 403(c)(2) provides that regional offices shall serve as centers for the dissemination of information and shall provide technical assistance to State and local educational agencies. In order to fulfill this responsibility, each State educational agency should submit to the appropriate regional office copies of final reports and evaluation reports of special projects and teacher training programs.

(24) Section 166.41 *Comment.* A commenter suggested that the requirement in § 166.41 for the expenditure of Federal funds in accordance with "adult education" be changed to read "the provisions of this Act."

Response. The suggested language that all Federal funds must be expended for activities related to "the provisions of this Act" constitutes a more accurate interpretation of the legislation. The regulations, therefore, have been amended to reflect this comment.

(25) Section 166.42 *Comment.* The National Advisory Council on Adult Education (NACAE) expressed a strong reservation about the limitation on the administrative expense provision in § 166.42. It is the opinion of NACAE that there is no limitation prescribed in section 313(b) of the Act.

Response. Section 313(b) of the Adult Education Act authorizes an additional appropriation not to exceed five percent of the amount of a State's allotment to pay the cost of administration of its State plan and other activities. The appropriations for each fiscal year, however, disregarded the bifurcation of appropriation between sections 313(a) and 313(b) and instead, set forth a single lump sum appropriation. As a result of this funding pattern, it was decided that Congressional intent could best be carried out if the appropriation for adult education were divided into 105 parts, of which not more than five parts were available for administrative costs. We understand the gravity of the problems raised by this limitation, yet it should be pointed out that any change must be made by Congress, not by the U.S. Office of Education. No change has been made in § 166.42 at this time.

(26) Section 166.45 *Comment.* Many comments have been received concerning the prohibition on tuition and fees in § 166.45. The scope of these comments range from total support for the present language to total rejection of § 166.45. The thrust of the argument in favor of tuition and fees is that such funds would be used to help defray the rapid rise in costs of materials, the increase in enrollment and the rise in teacher salaries. Some commenters also pointed out that if the adult has provided some monies toward his education, he or she will "feel better about the program" and it will provide the individual with an incentive to attend more regularly. Those commenters recommending that the language stand as it is have emphasized the fact that charging students for costs would subvert the original intent of the adult basic education legislation.

Response. It is clear that many local school districts have historically required students to pay a portion of the fee for adult secondary programs (if they are

able to pay). We also recognize the possibility that the imposition of this rule on adult secondary programs may cause some States to spend no Federal dollars in this area, reject no students, and then might jeopardize their current viable programs and might impede many innovative adult secondary programs. Consequently, § 166.45 has been amended so as not to prohibit the charging of fees for adult secondary programs.

This increased flexibility for the States does not exempt them from the mandate of § 166.56 of the General Education Provisions Regulations which requires that tuition or fees collected from students enrolled in such courses as adult secondary programs may not be included as part of the Federal or non-Federal share of expenditures under the Adult Education Act.

The prohibition on charging tuition and fees for adult basic education programs has been retained in § 166.45. The legislative priority for enrollment in these programs calls for serving the disadvantaged. These students are the ones least likely to be able to afford tuition costs.

(27) *Section 166.50 Comment.* A commenter questioned the utility of requiring State educational agencies to submit along with their annual program plan a copy of any adult education legislation enacted by the State. (§ 166.52(d)(4))

Response. The transmission of any State legislative action bearing on adult education to the U.S. Office of Education will have a catalytic effect on the future planning of adult education at the national level. Also, this information is crucial during the review process of annual program plans. The statutory authority for this requirement in § 166.52(d)(4) is found in section 422(a)(2) of GEPA.

(28) *Appendix A Comment.* A commenter suggested that Appendix A(16) (redesignated as (13)) should be revised to read "that not more than 20 percent of the total funds used * * * for institutionalized adults." The proposed rule was drafted in terms of "funds available" rather than "funds used."

Response. Since the computation of the 20 per centum would vary depending on whether the total represents "funds used" or "funds available", Appendix A (13) has been amended to reflect the former. This change is consistent with section 306(a)(1) of the Act.

3. *Consolidation of §§ 166.26 and 166.12(b)(4).* The provisions relating to third-party evaluations of projects funded under section 309 of the Act as set forth in § 166.26 (a) and (b) duplicate the regulatory language in § 166.12(b)(4). This latter section imposes the requirement that the annual program plan shall describe procedures which will be used for conducting annual evaluations of all the activities which are carried out in the year for which funds are sought. The reference to "activities" in the proposed rules encompasses all projects under the authority of sections 306 and 309 of the Act. Accordingly, § 166.12(b)(4) has been amended to clarify the scope of the provision. Also, § 166.26 has been eliminated in its entirety since the substantive content of this regulation is contained in § 166.12(b)(4). With the deletion of § 166.26, corresponding changes have been made to the numbering of §§ 166.27 through 166.30.

The annual evaluation for activities 306 and 309 activities must be submitted to the U.S. Commissioner of Education. Whereas proposed rule § 166.26 required an independent third-party evaluation, the final rule set forth in § 166.12(b)(4) allows the evaluation to be conducted either by the State agency or by other parties. The annual program plan must set forth the specific criteria which will be used in assessing the effectiveness of the activities. If the evaluation is conducted by the State agency, the annual program plan should also set forth the evaluation instruments to be applied. This modification will allow the State agency more flexibility in setting forth its own procedures for evaluation of section 309 projects; the change is also more realistic in view of the fact that some States could not afford the cost of independent third-party evaluations.

4. *State matching requirement under section 307(a) of the Act.* Some confusion has arisen in the interpretation of the statutory matching requirement set forth in section 307(a), which reads: The Federal share for each State shall be 90 per centum * * *." The ambiguity which has been demonstrated is whether the State share is calculated as 10 per centum of the total Federal allotment or 10 per centum of the total local, State and Federal expenditure. In order to receive the Federal allotment, a State must adhere to the latter formula. For example, if the total Federal allotment for FY 75 is $900,000, then the total local, State and Federal expenditure must be at least $1,000,000. Thus the State and local share would be a minimum of $100,000, not $90,000. If, hypothetically, a State calculates its matching as 10 per centum of the Federal allotment (10% of $900,000=$90,000) then under this example, it would fail to meet its statutory obligation by $10,000 ($100,000−$90,000=$10,000).

5. *Effect of Office of Education General Provisions Regulations.* These regulations omit provisions relating to general fiscal and administrative matters which are covered under the overall Office of Education General Provisions Regulations (GEPR), published in the FEDERAL REGISTER on November 8, 1973 at 38 FR 30654 under section 503 of the Education Amendments of 1972 of which this publication is a part. (Reference is made in particular to the provisions of Part 100b of Title 45 of the Code of Federal Regulations containing general provisions for State-administered programs, including civil rights assurances contained in § 100b.282, which are applicable to the State-administered programs under the Adult Education Act.)

6. *Priorities for programs of national significance.* Based on the findings of surveys and studies conducted by the U.S. Office of Education, recommendations of the National Advisory Council on Adult Education, and on evaluations by State educational agencies, the Commissioner has suggested that the priorities set forth in Appendix B of this part merit special consideration by the States in planning activities to meet the special project and personnel training needs of their adult education programs.

7. *Citations of legal authority.* As required by section 431(a) of the General Education Provisions Act (20 U.S.C. 1233 (a)) and section 503 of the Education Amendments of 1973, a citation of statutory or other legal authority for each of the regulations has been placed in parentheses on the line following the text of the section.

On occasion, a citation appears at the end of a subdivision of the section. In that case the citation is to all that appears in that section between the citation and the next preceding citation. When the citation appears only at the end of the section, it applies to the entire section.

10. *Other changes.* Certain other minor and technical changes were made in order to correct omissions and typographical errors printed in the proposed regulations. Some of these oversights were pointed out in the written comments.

11. *Effective date.* Pursuant to section 431(d) of the General Education Provisions Act, as amended (20 U.S.C. 1233 (d)) these regulations have been transmitted to the Congress concurrently with the publication of this document in the FEDERAL REGISTER. That section provides that regulations subject thereto shall become effective on the forty-fifth day following the date of such transmission, subject to the provisions therein concerning congressional action and adjournment.

(Catalog of Federal Domestic Assistance Program No. 13.400, Adult Education—Grants to States)

Dated: April 7, 1975.

T. H. BELL,
U.S. Commissioner of Education.

Approved: April 17, 1975.

CASPAR W. WEINBERGER,
Secretary of Health, Education, and Welfare.

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APPENDIX B: Priorities for Programs of National Significance.

AUTHORITY: Secs. 302–314 of Pub. L. 89–750, as amended; 80 Stat. 1source–1064 (20 U.S.C. 1201–1211a), unless otherwise noted.

Subpart A—General

§ 166.1 Purpose, scope and other references.

(a) *Purpose.* The regulations in this part implement the provisions of the Adult Education Act which provides Federal assistance to expand educational opportunity and encourage the establishment of programs of adult public education that will enable all adults to continue their education to at least the level of completion of secondary school thus making available the means to secure training that will enable them to become more employable, productive and responsible citizens.

(20 U.S.C. 1201)

(b) *Scope.* The regulations in this part cover grants to States for adult basic education, adult secondary education, and other adult education programs pursuant to section 304 of the Act.

(20 U.S.C. 1201)

(c) *General Education Provisions Regulations.* Assistance provided under this part is subject to applicable provisions contained in subchapter A of this Chapter (entitled "General Provisions for Office of Education Programs") relating to fiscal, administrative, property management and other matters, hereinafter called "General Education Provisions Regulations" (GEPR).

(20 U.S.C. 1201, 1221)

§ 166.2 Definitions.

The terms "adult," "adult education," "adult basic education," "community school program," "local educational agency," "State," "State educational agency," and "academic education," as used in this part, are defined in section 1203 of the Act.

(20 U.S.C. 1202)

"Act," means the Adult Education Act.

(20 U.S.C. 1201 (note on short title))

"GEPR" means the "General Education Provisions Regulations" (entitled "General Provisions for Office of Education Programs"), which may be found in Subchapter A of this chapter.

The term "nonprofit," "private," and "public agency" as used in this part, are defined in § 100.1 of GEPR.

"Institutionalized person" means (1) an adult sixteen years of age or older who does not have a certificate of graduation from a school providing secondary education, or does have a certificate of graduation from a school providing secondary education but is functioning at less than a secondary competency, and is not currently required to be enrolled in school and is an inmate, patient, or resident of a penal institution, reformatory, residential training school, orphanage, or general or special institution, or hospital; or (2) an adult in a residential school for the physically or mentally handicapped.

The term "limited English-speaking ability," when used with reference to adults, means adults who come from environments where a language other than English is dominant, and, by reason thereof, have difficulty speaking and understanding instruction in the English language.

(20 U.S.C. 1205–1)

"Institution of higher education" means an educational institution in any State which:

(a) Admits as regular students only individuals having a certificate of graduation from a high school, or the recognized equivalent of such a certificate;

(b) Is legally authorized within such State to provide a program of education beyond high school;

(c) Provides an educational program for which it awards a bachelor's degree, or provides not less than a two-year program which is acceptable for full credit toward such a degree, or offers a two-year program in engineering, mathematics, or the physical or biological sciences which is designed to prepare the student to work as a technician and at a semiprofessional level in engineering, scientific, or other technological fields which require the understanding and application of basic engineering, scientific, or mathematical principles or knowledge;

(d) Is a public or other nonprofit institution; and

(e) Is accredited by a nationality recognized accrediting agency or association listed by the Commissioner pursuant to this paragraph or, if not so accredited, is an institution whose credits are accepted, on transfer, by not less than three institutions which are so accredited, for credit on the same basis as if transferred from an institution so accredited: Provided, however, that in the case of an institution offering a two-year program in engineering, mathematics, or the physical or biological sciences which is designed to prepare the student to work as a technician and at a semiprofessional level in engineering, scientific, or technological fields which requires the understanding and application of basic engineering, scientific or mathematical principles or knowledge, it the Commissioner determines that there is no nationally recognized accrediting agency or association qualified to accredit such institutions, he shall appoint an advisory committee composed of persons specially qualified to evaluate training provided by such institutions, which shall prescribe the standards of content, scope, and quality which must be met in order to qualify such institutions to participate under this Act and shall also determine whether particular institutions meet such standards. For the purpose of this paragraph the Commissioner shall publish a list of nationally recognized accrediting agencies or associations which he determines to be reliable authority as to the quality of education or training offered.

(20 U.S.C. 901; 20 U.S.C. 1202)

Subpart B—State Advisory Councils

§ 166.4 Establishment and certification.

(a) *Establishment.* Each State which receives funds under section 304 of the Act and the regulations in this part for any fiscal year may establish and maintain a State advisory council, or may designate and maintain an existing State advisory council, which shall be, or has been, appointed by the Governor or, in the case of a State in which members of the State board which governs the State education agency are elected (including election by the State legislature), by such board.

(b) *Certification.* The State educational agency shall notify the U.S. Commissioner of Education of the establishment of, and membership of, its State advisory council. The notification shall be attached to the State plan or be submitted as an amendment thereto in such cases where an advisory council is established after the State plan has been approved. Such notification shall include the name, education, experience, and current position of each person serving on the State advisory council and shall specify which interest under § 166.5 each person represents. Forms for the certification of State advisory councils may be obtained from the U.S. Office of Education, Division of Adult Education, Regional Office Building No. 3, 7th and D Streets, SW., Washington, D.C. 20202. Upon receiving such notification, the Commissioner shall, as appropriate, certify that each such council is in compliance with the membership requirements set forth in the Act and in this subpart.

(c) *Funding.* A State advisory council which is funded solely from non-Federal sources which are not part of the 10 per

centum State matching is not required to comply with the statutory requirements of section 310A of the Act nor §§ 166.4 through 166.10.

(20 U.S.C. 1208b)

§ 166.5 Membership.

In order to effectively reflect the diverse interests and needs of the general public served by the Act, the membership of the State advisory council should include a significant proportion of women, the elderly, minorities, and educationally disadvantaged. The membership of the council shall also be organized to include:

(a) Persons who, by reason of experience or training, are knowledgeable in the field of adult education or who are officials of the State educational agency or of local educational agencies of that State;

(b) Persons who are receiving or have received adult educational services; and

(c) Persons who are representative of the general public.

(20 U.S.C. 1208b)

§ 166.6 Functions and responsibilities.

The State advisory council shall:

(a) Advise the State educational agency on the development and administration of the State plan approved pursuant to the Act and the regulations in this part;

(b) Advise the State educational agency on policy matters arising in the administration of the Act and the regulations in this part;

(c) Advise the State educational agency with respect to long-range planning;

(d) Advise the State educational agency with respect to studies for evaluating adult education programs, services, and activities assisted under the Act; and

(e) Prepare and submit to the State educational agency, the National Advisory Council on Adult Education, established pursuant to section 311 of the Act, and the U.S. Commissioner of Education, an annual report of its recommendations, accompanied by such additional comments of the State educational agency as that agency deems appropriate.

(20 U.S.C. 1208b; 20 U.S.C. 1231a(a)(3))

§ 166.7 Meetings and rules.

Each State advisory council shall meet within 30 days after certification by the Commissioner and select from among its membership a chairman. The time, place, and manner of subsequent meetings shall be provided by the rules of the State advisory council. Such rules shall provide for not less than four meetings each year, including at least one public meeting at which the public is given the opportunity to express views concerning adult education.

(20 U.S.C. 1208b)

§ 166.8 Staff.

Each State advisory council is authorized to obtain the services of such professional, technical, and clerical personnel as may be necessary to enable it to carry out its functions under the act.

(20 U.S.C. 1208b)

§ 166.9 Compensation.

Members of the State advisory council and its staff, while serving on the business of the council, may receive subsistence, travel allowances, and compensation in accordance with State law, regulations, and practices applicable to persons performing comparable duties and services.

(20 U.S.C. 1208b)

§ 166.10 Allowable costs.

Costs incurred by State advisory councils established pursuant to section 310A of the Act are allowable expenditures of Federal funds granted to the States under section 309 of the Act and of the non-Federal share of State and local funds necessary to earn such Federal funds.

(20 U.S.C. 1203; 1208b)

Subpart C—Annual Program Plan Provisions

§ 166.11 Annual program plan; general.

(a) *Purpose.* The purpose of the annual program plan is to provide a framework within which the State will encourage the establishment, expansion, and improvement of programs to carry out the purpose set forth in § 166.1(a), and to provide the basis on which Federal payments to the State under this part are made. State agencies desiring to participate under the Act must submit an annual program plan in accordance with the requirements of the Act and the regulations in this part. Each plan shall include a description of the adult education needs of the State, services and activities to meet those needs, a schedule of implementation, and procedures for evaluating program effectiveness.

(b) *Format.* The annual program plan consists of the cover sheet and the State-Federal agreement (the texts of both are attached as Appendix A of this part. The annual program plan must be submitted annually to the U.S. Commissioner of Education through the Assistant Regional Commissioner, Occupational and Adult Education Programs, and received in the appropriate DHEW Regional Office on or before the last day of the fiscal year preceding that for which funds are sought.

(20 U.S.C. 1205a, 20 U.S.C. 1231c)

§ 166.12 Annual program plan for use of grants.

(a) *General.* (1) The State agency must develop an annual program plan for establishing or expanding adult basic education programs, adult secondary education programs, and other adult education programs to be carried out by local educational agencies and public and private nonprofit agencies in the State. The annual program must meet applicable requirements, including those set forth in the Act, section 434(b)(1)(B) of the General Education Provisions Act, the regulations in this part, the GEPR contained in Subchapter A of this Chapter, and the State-Federal agreement contained in Appendix A of this part, and must be developed and operated in accordance with the policies, procedures, and criteria established by the State pursuant to §§ 166.12(b) and 166.13.

(2) The annual program plan must be revised each year to reflect proposed activities for the ensuing fiscal year, and must be submitted to the U.S. Commissioner of Education for approval in accordance with the requirements set forth in section 434(b)(1)(A) of the General Education Provisions Act.

(b) *Content.* (1) The annual program plan must set forth the annual objectives and priorities of the State for meeting the objectives of sections 306 and 309 of the Act. This plan must also contain a statement of the policies, procedures and criteria to be followed by the State agency in approving local educational agency and public and private nonprofit agency programs which will assure substantial progress in the establishment or expansion of adult basic education, adult secondary education programs, and other adult education programs.

(2) The annual program plan shall set forth the policies, procedures and criteria to be used by the State educational agency to administer section 309 of the Act. The annual program plan shall include such criteria and procedures for each of the following functions:

(i) General announcement of the availability of Federal funds for special projects and teacher training. The State must assure compliance with the procurement standards of Subpart I of Part 100a of GEPR.

(ii) Establishment of statewide priorities in adult education;

(iii) Criteria for the review of special projects and teacher training applications;

(iv) Procedures for submission of applications;

(v) Criteria for the establishment of application review panels, if such panels are to be used;

(vi) Criteria for the selection of participants for teacher training projects;

(vii) Procedures for the disposition of applications;

(viii) Procedures for hearings, as required by section 423 of the General Education Provisions Act;

(ix) Program evaluation procedures;

(x) Allowable costs;

(xi) Provisions for stipends and travel allowances for teacher training participants;

(xii) Report requirements; and

(xiii) Procedures for the dissemination of project results.

(3) The information to be provided in the annual program plan, in accordance with paragraphs (b) (1) and (2) of this section, shall be in sufficient detail that it will be possible for the U.S. Commissioner of Education to determine if

the provisions of the Act and these regulations are being administered in an efficient and prudent manner, and to determine whether and to what extent substantial progress (with respect to all appropriate segments of the adult population in need of adult education, including institutionalized persons and persons of limited English-speaking ability) is being made in meeting the educational needs of adults in all areas of the State.

(4) The annual program plan shall describe procedures which will be used for conducting an annual evaluation of all activities (sections 306 and 309 of the Act) which shall be carried out in the year for which funds are sought. The procedures should describe the specific criteria which will be used in assessing the effectiveness of the program or project. Such annual evaluation should be conducted either by the State agency or by other parties. The annual program plan should set forth the evaluation instruments to be applied in the annual evaluations conducted by the State agency. A copy of any reports of such evaluations shall be sent to the U.S. Commissioner of Education. Results of the evaluation must also be reflected, as appropriate, in the performance report which must be submitted annually with the Financial Status Report in accordance with Subpart P of the GEPR.

(20 U.S.C. 1205(a); 45 CFR Part 1609; Subpart Q, 20 U.S.C. 1231a(a)(3))

(c) *Programs.* Funds available under this Act may be used to assist in establishing or carrying out adult basic education programs and programs of secondary equivalency or for a certificate of graduation from a secondary school. Persons having a certificate of graduation from a school providing secondary education but functioning at less than a secondary competency are eligible for participation in such programs. The total annual expenditure of funds available under this part for adult secondary education shall in no event exceed 20 percent of the total annual allotment of Federal funds granted to the State under section 309 of the Act. No limitation is made on the amount of State and local funds (including those State and local funds that are necessary to earn such Federal funds) that may be used by the State for adult secondary education programs. For example, a State's Federal allotment is $100,000. The State must not use more than $20,000 (20% of $100,000) of this Federal allotment for adult secondary education. The State may add any amount of its own funds to the $20,000 for adult secondary education programs.

(20 U.S.C. 1201)

(d) *Programs for institutionalized persons.* Each State educational agency may use not more than 20 percent of the total funds expended during any fiscal year (including State and local funds necessary to earn Federal funds, and including any funds brought forward from the prior year allotment) under this part for establishing and carrying out adult basic education programs or adult secondary education programs for institutionalized adults. For example, a State's Federal allotment is $90,000. The State matches with $10,000 for its adult education program. The State must not use more than $20,000 of its total adult education funds (20% of $100,000 for carrying out programs for institutionalized adults. The percentage of the Federal allotment that is used for adult secondary education programs for institutionalized persons must be added to the percentage of the Federal allotment that is used for public adult secondary education programs for a combined total expenditure of not more than 20 percent of the total Federal allotment for any given fiscal year.

(e) *Bilingual adult education programs.* The State educational agency shall be responsible for providing bilingual adult education programs for persons of limited English-speaking ability (as defined in § 166.2). By providing bilingual adult education programs in which instruction is given in English and, to the extent necessary to allow such persons to progress effectively through the adult education program, in the native language of such persons.

(20 U.S.C. 1201, 1203(b), 1205(a); Senate Report No. 634, 91st Congress, 2nd Sess., p. 71 (1970); 20 U.S.C. 1222, 1221b-2; 20 U.S.C. 880b-1)

§ 166.13 Development of program policies, procedures and criteria.

In developing the policies, procedures and criteria referred to in § 166.12(b)(1), the State agency must give consideration to such factors as to whether and to what extent a program:

(a) Will serve adults, including institutionalized persons and persons with limited English-speaking ability, in those geographic areas of the State which have high concentrations of adults in need of basic education;

(b) Will serve adults with the greatest basic educational deficiencies which are impairing their ability to obtain employment and become more productive and responsible citizens;

(c) Will provide special assistance for persons of limited English-speaking ability by providing bilingual adult education programs in which instruction is given in English and to the extent necessary to allow such persons to progress effectively through the adult education program, in the native language of such persons. The bilingual adult education programs shall be carried out in coordination with programs of bilingual education assisted under Title VII of the Elementary and Secondary Education Act of 1965, as amended, and bilingual vocational education programs under the Vocational Education Act of 1963, as amended;

(d) Will meet the need for adult secondary programs in the State to the fullest extent possible with funds provided by the Act and set forth in § 166.12(c);

(e) Has been planned and will be conducted in cooperation with Community Action programs, Work Experience programs, VISTA, Work-Study programs, programs designed to provide reading instruction for adults, and other programs relating to the antipoverty effort;

(f) Has been planned and will be conducted in cooperation with manpower development and training programs, including programs under the Comprehensive Employment and Training Act (CETA), and occupational education programs;

(g) Has been planned and will be conducted in cooperation with other State and local community school programs, consumer education programs, career education programs, metrication education programs for adults, equal education programs for women, bilingual instructional programs for persons with limited English-speaking ability, and with agencies responsible for institutionalized persons;

(h) Will provide health information and services, to the extent available, through cooperative arrangements with State health authorities and will further the cooperative arrangements between the State educational agency and the State health authority for the use of such information and services;

(i) Incorporates the results of research or techniques which have proven to be effective;

(j) Incorporates innovative or imaginative instructional methods; and

(k) Is desirable in light of the findings and recommendations of recent independent evaluation reports available to or sponsored by the State agency.

(20 U.S.C. 1205(a); 20 U.S.C. 880b-1)

§ 166.14 Certification of annual program plan.

(a) *Certification by State educational agency.* The annual program plan and any amendments thereto, as required by §§ 166.12 and 166.15, shall include an attachment, executed by the authorized official of the State educational agency to submit the annual program plan, which certifies to the effect that: (1) The plan or amendment has been adopted by the State educational agency, and (2) the plan, or plan as amended, will constitute the basis for operation and administration of the adult education program in which Federal financial participation will be made.

(20 U.S.C. 1205(a))

(b) The State educational agency shall provide for a review of the annual program plan by the State advisory council, if such council exists. The State agency is also encouraged to provide for at least one scheduled public meeting for review of the annual program plan.

(20 U.S.C. 1206b)

(c) *Certification by the State Attorney General.* The State plan and all amendments thereto shall include a certification by the State's Attorney General, or other official designated in accordance with State law to advise the State agency on legal matters, that all

plan provisions and amendments thereto are consistent with State law. The Attorney General must further certify (a) the official title of the officers authorized to submit the annual program plan; (b) that the State agency named in the plan has authority under State law to submit the annual program plan; and (c) that the State Treasurer (or, if there should be no State Treasurer, the officer identified by title exercising similar functions for the State) has authority under State law to receive, hold, and disburse Federal funds under the annual program plan.

(20 U.S.C. 1203(a))

§ 166.15 Amendment of annual program plan.

(a) The annual program plan must also be amended as necessary to reflect any change in organization or operation which results from an amendment of State or Federal laws and policies, and to show any other changes in the designation or organization of operations, policies and methods of administration to be followed by the State. Notification of such amendments will be submitted and certified in the same manner as the annual program plan.

(20 U.S.C. 1203(a); 20 U.S.C. 1232c(b))

§ 166.16 Approval of annual program plan.

(a) *Governor's comments.* The State educational agency must afford the Governor of such State an opportunity to comment upon the annual program plan or any amendment thereto in accordance with GEPR § 100b.15 and assurance (13) of the State-Federal agreement contained in Appendix A to the regulations in this part.

(20 U.S.C. 1203(a))

(b) *Approval by the Commissioner.* The Commissioner will not approve an annual program plan or amendment thereto unless he determines that the plan or amendment complies with all applicable requirements. The Commissioner will not finally disapprove an annual program plan or any modification thereof without first affording the State reasonable notice and opportunity for a hearing.

(20 U.S.C. 1203(a) and (b))

Subpart D—Special Experimental Demonstration Projects and Teacher Training

§ 166.21 Applicability.

(a) The regulations in this subpart apply to Federal assistance provided by the State educational agency for special projects in adult education under subsection (1) and adult education personnel training under subsection (2) of section 309 of the Act.

(b) Assistance provided under this subpart is subject to applicable provisions contained in the Act, the regulations in this part, and the GEPR.

(20 U.S.C. 1208)

§ 166.22 Eligible projects.

The State educational agency shall establish and set forth in its annual program plan the policies and procedures under which it will use not less than 15 percent of the funds allotted to it for any given fiscal year under section 305 of the Act for special projects and teacher training, as prescribed by section 309 of the Act. The State educational agency shall use not less than 15 percent of each annual Federal allotment which is reserved for the purposes of section 309 of the Act to provide support for both special projects and teacher training programs. The distribution of such funds among special projects and teacher training shall be determined by the State educational agency in light of the overall objectives of its annual program plan.

(a) *Special projects.* From each annual Federal allotment to the State educational agency for the purposes of the Act, funds will be available under section 309(1) for special projects which:

(1) Involve the use of innovative methods, systems, materials, or programs which:

(i) may have national significance, or

(ii) may be of special value in promoting effective programs under the Act; or

(2) Involve programs of adult education which are part of a community school program carried out in cooperation with other Federal, or federally assisted State or local programs which have unusual promise in promoting a comprehensive or coordinated approach to the problems of persons with educational deficiencies.

(b) *Teacher training.* From each annual Federal allotment to the State educational agency, funds will be available under section 309(2) of the Act to train persons engaged, or preparing to engage, as personnel in programs designed to carry out the purposes of this Act.

(20 U.S.C. 1208)

§ 166.23 Eligible applicants.

(a) *Special projects and teacher training.* Federal funds authorized for the purposes of section 309 of the Act may be used for grants, contracts, or other arrangements, if appropriate under applicable State laws, to provide support for special projects and teacher training. Eligible recipients include the following:

(1) State educational agencies;

(2) Local educational agencies;

(3) Public and private agencies, institutions and organizations; and

(4) Individuals (unless precluded by State law).

(20 U.S.C. 1208)

(b) *Ineligible applicants.* No funds may be used from the State's allotment under this part for programs conducted by any school or department of divinity, as defined in section 312 of the Act.

(20 U.S.C. 1210)

§ 166.24 Project applications.

(a) Funds to support special projects and teacher training under section 309 of the Act will be available from the appropriate State educational agency. Information on policies and procedures for applying for such support may be obtained from the State educational agency.

(b) In its use of section 309 funds, the State educational agency may not assign any part of its responsibility to another agency. This does not, however, prevent a State agency from exercising its authority under the Act to coordinate activities with other Federal, or federally assisted State and local programs, nor prevent two or more applicants in one or more States from conducting a joint program or project (including a planning project).

(c) A State educational agency may award funds under section 309 of the Act to eligible applicants outside the boundaries of the State if such an award is deemed to be in the best interest of the State in meeting the purposes of the Act.

(20 U.S.C. 1208)

§ 166.25 Establishment of national priorities in adult education.

Based on the findings of surveys and studies conducted by the U.S. Office of Education and other related agencies of DHEW, recommendations of the National Advisory Council on Adult Education, and on evaluations by State educational agencies, and State advisory councils, if such councils exist, the U.S. Office of Education will review and identify, for the guidance of the State educational agencies and findings from other research communities, national priorities annually in the field of adult education and, as necessary, will publish current priorities in the FEDERAL REGISTER. The State educational agency may take these priorities into consideration for its guidance in the development of its annual program of priorities and objectives under the annual program plan. Each State is requested in its annual program plan to indicate how the priorities established by the State agency related to the published national priorities. Such national priorities are contained in these regulations as Appendix B.

(20 U.S.C. 1231a(a)(1); 20 U.S.C. 1231a(f)(a))

§ 166.26 Allowable costs.

(a) Allowable costs of programs and projects funded under the Act shall be in accordance with § 100b, Subpart G, and Appendix B, C, or D (as appropriate) of GEPR.

(b) Participants in teacher training programs funded under the Act and these regulations may receive support and travel allowances. Such support and travel allowances, if paid, shall be in accordance with State law, policies and procedures.

(c) With respect to teacher training programs under section 309(2) of the Act, only those allowances which are provided for in applicable State law, policies and procedures, and under the provisions of Subpart G and Appendix

B, C, or D (as appropriate) of GEPR may be included as direct costs of the project.

(20 U.S.C. 1208, 45 CFR 100b)

§ 166.27 Reporting requirements for special projects and teacher training.

In order for the State educational agency to comply with Federal reporting requirements, as set forth in § 166.52 of these regulations, and Subparts P and Q of 45 CFR 100b, recipients of funds administered under section 309 of the Act shall submit, as a condition of funding, such reports as the State educational agency deems necessary.

(20 U.S.C. 1208(a)(8))

§ 166.28 Dissemination of results of projects.

(a) The State educational agency shall develop and set forth in its annual program plan procedures for providing a copy of final reports and evaluation reports of special projects and teacher training programs, supported under section 309 of the Act to:

(1) The U.S. Commissioner of Education;

(2) The Clearinghouse on Adult Education; and

(3) The Assistant Regional Commissioner, Occupational and Adult Education Programs, in the appropriate DHEW Regional Office.

(b) Except for the requirements contained in paragraphs (a) (1), (2) and (3) of this section, it shall be the responsibility of the State educational agency to distribute (as the State agency deems appropriate) the results of projects supported under section 309 of the Act.

(20 U.S.C. 1208-1)

Subpart E—Federal Financial Participation

§ 166.41 Use of Federal funds.

All Federal funds (and State or local funds necessary to earn such Federal funds) must be expended in accordance with applicable requirements and only for programs, services, and activities related to the provisions of this Act. The annual program plan shall set forth a program for the use of grant funds which affords assurance that in all areas of the State, special emphasis will be given to adult basic education needs in accordance with the policies, procedures, criteria and considerations established in accordance with §§ 166.12(b) and 166.13.

(20 U.S.C. 1208(a))

§ 166.42 Limitation on administrative expenses.

The U.S. Commissioner of Education shall determine annually (based upon the amounts so appropriated for this purpose or, in the absence of such appropriation, in amounts based upon the funds appropriated pursuant to section 313(a) and the limitation prescribed in section 313(b) of the Act) the maximum allowable amount awarded pursuant to section 313(b) of the Act. The non-Federal share of funds available under the State plan may also be utilized to pay such administrative costs.

(20 U.S.C. 1211)

§ 166.43 Federal and non-Federal share of expenditures.

(a) *Federal share.* The Federal share of expenditures incurred under the State plan and payable to a State from its allotment shall not exceed 90 per centum, except that with respect to the Trust Territory of the Pacific Islands such Federal share shall be 100 per centum.

(20 U.S.C. 1208(a))

(b) *Non-Federal share.* The non-Federal share of expenditures under the State plan shall be the difference between the Federal share meeting the requirements of paragraph (a) of this section and the total expenditures for the purposes for which the Federal share is paid. The non-Federal share of expenditures under the State plan may be computed on a statewide basis and may come from any source other than Federal assistance for a specific purpose so long as such expenditures are made in furtherance of the purposes of the State plan approved under this part and do not inure to the personal benefit of any donor. The criteria and procedures for determining the allowability and valuation of in-kind contributions applicable to State agencies for the purpose of meeting the non-Federal share are included in Subpart H of Part 100b of the GEPR.

(20 U.S.C. 1206(a))

§ 166.44 Use of funds for sectarian or religious purposes.

No payment may be made from a State's allotment under the Act for any program, service, or activity related to sectarian instruction or religious worship, or provided by a school or department of divinity, as defined in section 312 of the Act. An institution which has a school, branch, department, or other administrative unit within the definition of "school or department of divinity" is not precluded for that reason from participating in programs, services, or activities under this part if the program is not offered by that school, branch, department, or administrative unit and, as in all other cases, the program, service, or activity is not related to sectarian instruction or religious worship.

(20 U.S.C. 1212)

§ 166.45 Tuition and fees.

Adults enrolled in adult basic education programs may not be charged tuition, fees, or any other charges, or be required to purchase any books or any other materials that are needed for participation in the program.

(20 U.S.C. 1203(b), 1205(a)(1); 45 CFR 100b, Subpart O)

Subpart F—Payments and Reports

§ 166.51 Conditions for payments to States.

(a) *Approved State plan.* Payments to States under the Act will be made only after the Commissioner has approved the State plan submitted in accordance with the requirements of the Act, these regulations, and GEPR.

(b) *Maintenance of effort.* The State shall certify to the Commissioner that there will be available for expenditure by the State, including its political subdivisions, for adult education from non-Federal sources during the fiscal year for which the allotment is made an amount equal to not less than the total amount expended for such purposes from such sources during the preceding fiscal year. No State will be required to use its funds to supplant any portion of the Federal share.

(20 U.S.C. 1208)

§ 166.52 Reports.

(a) *Financial reports.* The State agency shall submit financial reports annually, 90 days after the end of the grant year, in accordance with Subpart P of Part 100b of the GEPR.

(b) *Performance reports.* The State agency shall submit performance reports annually, 90 days after the end of the fiscal year, in accordance with Subpart Q of Part 100b of the GEPR.

(c) *Independent evaluations.* The State shall forward to the Commissioner a copy of any independent evaluations of projects and programs (including projects under section 309 and programs of instruction under section 306 of the Act).

(d) *Other records.* (1) Within 15 days after the approval of a project under section 306(a)(4) or section 309 of the Act, the State agency is requested to provide the Commissioner with an informational copy of each proposal approved for funding. The State agency shall submit to the Commissioner, within 120 days after completion of the project, copies of final reports of programs or projects conducted by awardees under section 306 (a)(4) and section 309 of the Act;

(2) The State educational agency shall submit, within 60 days after the end of any fiscal year, a report on the use of Federal funds as required by section 427 (a) of the General Education Provisions Act;

(3) The State educational agency shall provide, in accordance with section 424 of the General Education Provisions Act, a compilation of all projects for each fiscal year in which funds under sections 306(a)(4) and 309 of the Act are used to carry out such programs. Such compilation shall be indexed according to subject, descriptive terms, and location. Such indexing shall be in accordance with guidelines to be provided by the U.S. Office of Education, Clearinghouse on Adult Education; and

(4) The State educational agency shall submit along with its annual program plan a copy of any adult education legislation enacted by the State and a summary of the approved level of funding.

(20 U.S.C. 1201–1211a; 45 CFR Part 100b, Subparts P and Q; 20 U.S.C. 1231a, 1231(b), 1232c, 1232f)

APPENDIX A

OMB #####

ANNUAL PROGRAM PLAN FOR ADULT EDUCATION PROGRAMS

Annual program plan for Adult Education Programs under Adult Education Act.
Amendment to Annual program plan for Adult Education Programs under Adult Education Act.

Submitted by the State of .....
In accordance with the provisions of the Adult Education Act and the Regulations promulgated thereunder.
Submitted by .....
(Name of State agency)

on .....
(Date)

By .....
(Authorized official)
.....
(Title)

To be completed by the Office of Education:

Date on which plan or amendment is effective. .....

Approval recommended .....
(Assistant Regional Commissioner, Occupational and Adult Education Programs)

.....
(Date)

Concurred .....
(Deputy Commissioner for Occupational and Adult Education)

.....
(Date)

Approved .....
(U.S. Commissioner of Education)

.....
(Date)

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE

OFFICE OF EDUCATION

Annual Program Plan
(State-Federal Agreement)

Adult Education Act, as Amended
(Public Law 91-230)

The .....
(Officially designated State agency)
of the State of ....., hereinafter called the State Agency, hereby agrees and assures that this Annual Program Plan which serves as an agreement between State and Federal Governments under the Adult Education Act, will be administered in accordance with the following provisions:

(1) The State Agency has entered into cooperative arrangements with the State Health Authority, authorizing the use of such health information and services for adults as may be available from such authorities and as may reasonably be necessary to enable them to benefit from the instruction provided pursuant to the Act;

(20 U.S.C. 1206(a)(3))

(2) The State Agency will provide support to local educational agencies, and public and private nonprofit agencies for special projects, teacher training, and research projects (under section 306(a)(4));

(3) The State agency assures that not less than 15 percent of the annual allotment shall be used for the purposes of section 309 of the Act to provide support for both special projects and teacher training programs;

(20 U.S.C. 1204)

(4) The State Agency will provide for cooperation with Community Action programs, Work Experience programs, VISTA, Work-Study programs, programs designed to provide reading instruction for adults, and other programs relating to the antipoverty effort;

(20 U.S.C. 1205(a)(5))

(5) The State agency will provide for cooperation with manpower development and training programs, including programs under the Comprehensive Employment and Training Act (CETA), and occupational education programs;

(20 U.S.C. 1205(a)(6))

(6) The State Agency will ensure that special emphasis will be given to adult basic education programs;

(20 U.S.C. 1205(a)(7));

(7) The State Agency will provide such further information and assurances as may be required by applicable regulations;

(20 U.S.C. 1205(a)(13))

(8) The State Agency, including its political subdivisions, has available from non-Federal sources for expenditure for adult education, in the fiscal year for which the allotment is made, an amount not less than the amount expended for such purpose from such sources during the preceding fiscal year;

(20 U.S.C. 1206(b))

(9) (a) The State Agency assures that the program will be conducted in compliance with all requirements imposed by or pursuant to the regulations in 45 CFR Part 80 to effectuate the provisions of Title VI of the Civil Rights Act of 1964 (Pub. L. 88-352);

(b) The State Agency has submitted or is hereby submitting as an attachment to this agreement the method of administration to give reasonable assurance that the applicant and all recipients of Federal financial assistance under the annual program plan will comply with all requirements imposed by or pursuant to the regulations in 45 CFR Part 86 (prohibition of sex discrimination) Title IX in the Education Amendments of 1972 (Public Law 92-318);

(42 U.S.C. 2000d; P.L. 92-318, Title IX)

(10) The annual program plan has been submitted to the Governor for review; and his/her comments (or a statement that no comments have been made) will be attached to the annual program plan. Any amendments to this plan, as well as other periodic reports required under the program, if any, will be submitted for the Governor's review. The Governor's comments (or a statement that no comments were made) will accompany the materials when they are submitted to the U.S. Office of Education;

(20 U.S.C. 1205(a))

(11) Assurance is hereby given that the total annual expenditure of Federal funds for adult secondary education shall not exceed 20 percent of the total annual allotment granted to the State under section 305 of the Act;

(20 U.S.C. 1205(a)(7))

(12) Assurance is hereby given that special assistance will be provided for persons of limited English-speaking ability by providing bilingual adult education programs, in accordance with the criteria specified in § 166.12(e) of these regulations;

(20 U.S.C. 1205(a)(11))

(13) Assurance is hereby given that not more than 20 percent of the total expenditures (from Federal funds and State and local matching funds) for any fiscal year for the purposes of this Act shall be used for adult basic education or adult secondary education programs for institutionalized adults;

(20 U.S.C. 1205(a)(1))

(14) The program for the use of grants has been developed by the State Agency in accordance with section 306 of the Act and affords assurance for substantial progress with respect to all segments of the adult population and all areas of the State toward carrying out the purpose of the Act and applicable regulations;

(20 U.S.C. 1205(a)(1))

(15) The State Agency assures that it will not approve an application for a program of instruction unless it determines that the program will (a) utilize qualified administrative personnel and instructional staff, adequate facilities, equipment, materials, and guidance and counseling services; (b) provide for effective recruitment and retention of participants in adult education programs; and (c) provide for effective administration and supervision and assure efficient and economical operation in providing an adequate learning environment;

(20 U.S.C. 1205(a), 1232(c)(b))

(16) The State Agency assures that it will constantly monitor the performance of all activities supported under the Act to assure that adequate progress is being made toward achieving the goals of the grant. This review shall be made for each function or activity of each grant as set forth in the approved Annual Program Plan.

(17) The State agency will submit for approval by the U.S. Commissioner of Education an annual program plan, in accordance with section 434(b)(1)(A)(VI of the General Education Provisions Act, such annual program plan to include a certification by the State's Attorney General or other appropriate official, as specified in § 166.14 of the regulations.

Such program for use of grants is set forth in ..... which is
(Name of document)
attached hereto.

.....
(State Agency)
.....
.....
(Address)

By: .....
(Signature of authorized official)
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(Title)

.....
(Date)

APPENDIX B

PRIORITIES FOR PROGRAMS OF NATIONAL SIGNIFICANCE

The Commissioner has suggested for the guidance of State educational agencies that the following priorities merit special consideration by States in meeting the special project and staff development needs of their adult education program.

1. *Dissemination in adult education.* Administrators and practitioners of adult education have only limited means for learning of and assessing the kinds and quality of improved practices and products generated in adult education. Many States do not have a mechanism for systematic retrieval, review, assessment, and diffusion of improved practices and products. Without these capabilities, programs suffer from duplication of effort, lack of planning ability, and the continuation of traditional, non-progressive educational strategies.

Characteristics of such a mechanism include the ability to locate improved practices and products, identify specific users,

disseminate the practices and products to those users, and provide training and technical assistance for adoption and implementation by local adult educators. A Statewide dissemination program would develop these capabilities as part of the overall State Department of Education concern and planning for dissemination in education. If no such effort is presently being undertaken by a particular State Department of Education, the adult education program could play an important leadership role in developing departmental interest in a Statewide dissemination system. It will also be useful for State systems to coordinate plans and activities with the U.S. Office of Education, Clearinghouse on Adult Education.

3. *Adult performance level implementation.* By the end of fiscal year 1976, the Adult Performance Level (APL) test and objectives will be completed and available for implementation. States should plan to utilize section 309 and other funds in support of projects to conduct a Statewide literacy assessment and to develop instructional programs designed to meet APL objectives. Also encouraged are staff development or special projects which focus on the translation of APL objectives into curriculum and teacher competencies. Careful attention should be paid to the avoidance of overlap and duplication in these developments.

3. *Role of the employer in adult learning.* At the 1974 Summer Commencement of Ohio State University, the President asked the students and faculty to help bring the domains of education, employment and labor closer together to foster a community of learning. A major aim of this endeavor is to release the intellectual energy of America's youth to stimulate greater productivity on and off the job.

Adult educators can assist this effort by developing programs which identify the educative aspects of work and which structure the work environment and personnel policies to facilitate adult learning and career development. This may require restructuring the responsibilities of the employee to provide opportunities to learn new knowledge and skills which will prepare the employee to assume more or different job responsibilities.

This concept assumes that the organization of production around learning experiences for employees will ultimately lead to increased cost effectiveness of that production system.

4. *Adult education staff development.* As part of the continuing staff development effort, each region and State has developed an adult education staff development plan. It is recommended that each State continue the implementation of its plan, and carefully assess the desirability of supporting the continuation of a regional approach to staff development.

5. *Experimental and demonstration project continuation.* States are encouraged to review current experimental and demonstration projects funded under Pub. L. 91-230 in fiscal year 1974 to determine the appropriateness of assuming support for those projects which are of significance to State Adult Education Programs.

[FR Doc.73-10229 Filed 4-23-73;8:45 am]

APPENDIX 3

SELECTED STATISTICS OF ADULT EDUCATION STATE GRANT PROGRAMS
AGGREGRATE UNITED STATES, FISCAL YEARS 1965-1975

	Total	FY 1975	FY 1974	FY 1973	FY 1972	FY 1971	FY 1970	FY 1969	FY 1968	FY 1967	FY 1966	FY 1965
EXPENDITURES:					(Amounts in Thousands of Dollars)							
Federal Funds	$452,289	$87,770[2]	$59,526	$50,693	$49,693	$41,534	$37,992	$34,608	$29,337	$25,427	$32,562	$3,147
State and Local	180,117	43,230[2]	27,296	20,127	17,371	15,322	12,461	11,686	9,574	8,334	9,919	4,797
Total	$632,406	$131,000[2]	$86,822	$70,820	$67,064	$56,856	$50,453	$46,294	$38,911	$33,761	$42,481	$7,944
State and Local (% of total)		33	32	28	26	27	25	25	25	25	23	60
Enrollments	6,722,071	1,221,210	956,401	822,469	820,514	620,922	535,613	484,626	455,730	388,935	377,660	37,991
					PERCENT OF ANNUAL ENROLLMENT, BY SEX							
Male		45	44	43	44	44	43	44	45	47	N/A	N/A
Female		55	56	57	56	56	57	56	55	53	N/A	N/A
Total		100	100	100	100	100	100	100	100	100	N/A	N/A
					PERCENT OF ANNUAL ENROLLMENT, BY AGE GROUP							
16-24		40	37	36	34	30	26[3]	24[3]	21[3]	18[3]	15[3]	N/A
25-34		28	27	27	27	27	27	26	26	24	26	N/A
35-44		16	18	18	19	21	24	25	25	28	27	N/A
45-54		9	10	11	12	13	13	15	16	19	20	N/A
55-64		4	5	5	5	6	7	7	8	8	10	N/A
65 & over		3	3	3	3	3	3	3	4	3	2	N/A
Total		100	100	100	100	100	100	100	100	100	100	N/A

1/ Includes District of Columbia and Outlying Areas Participating in the program each year
2/ Estimated
3/ Includes Only 18-24 Year Old Enrollees

Source: Adult Basic Education Program Statistics, NCES. DHEW Publications No. (OE) 72-22 and No. (OE) 74-11413

APPENDIX 4-A

PROGRAM FUNDING HISTORY

Fiscal Year	Authorization	Budget Request	Appropriations	Obligations
1965	(under Econ. Opp. Act)	(under Econ. Opp. Act)	18,612,000[1]	4,168,836
1966	(under Econ. Opp. Act)	(under Econ. Opp. Act)	20,744,063[1]	35,187,227[4]
1967	40,000,000	(under Econ. Opp. Act)	29,200,000	29,126,682
1968	60,000,000	44,200,000	40,250,000[2]	38,633,882
1969	70,000,000	50,000,000	45,000,000	44,992,468
1970	160,000,000	50,000,000	50,000,000	49,880,475
1971	200,000,000	55,000,000	55,000,000	54,989,979[5]
1972	225,000,000	55,000,000	61,300,000	61,291,653[6]
1973	225,000,000	61,300,000	85,000,000	84,734,400
1974	150,000,000	63,485,000	63,485,000	63,481,699
1975	150,000,000	135,000,000	135,000,000[3]	67,500,000
1976	175,000,000	67,500,000	71,500,000	67,500,000
1977	200,000,000	80,500,000	80,500,000	71,500,000
1978	200,000,000	80,500,000		

1/ Funds were appropriated to the Office of Economic Opportunity and transferred to the Office of Education for the administration of the Adult Education Program.

2/ 5% of the appropriation was held in reserve by the Bureau of the Budget (not released to OE); therefore $38,640,000 was available to the Adult Education Program.

3/ In 1975 the Appropriations Act included $67,500,000 for Fiscal Years 1975 and 1976, placing the Adult Education Program on an advanced funding basis.

4/ Includes $14,443,164 carry over from the Fiscal Year 1965 appropriation earmarked for State grants.

5/ The State allotment for Louisiana and Virginia were reduced, in accordance with Section 416 of P.L. 91-230, due to the ineligibility of Caldwell Parish in Louisiana and Northampton County in Virginia to receive Federal funds because of failure to comply with Title VI of the Civil Rights Act of 1964.

6/ The State allotment for Georgia was reduced by $1,247, in accordance with Section 416 of P.L. 91-230, due to the ineligibility of Glascock County to receive Federal funds because of failure to comply with Title VI of the Civil Rights Act of 1964.

APPENDIX 4-B

ADULT EDUCATION
STATE ALLOCATION TABLES FOR FY 1971-1977

State or Territory	1971 1/	1972 3/	1973 3/	1974 4/	1975 5/	1976 6/	1977 7/
Total:	$44,875,000	$51,134,000	$74,834,000	$53,286,000	$67,500,000	$67,500,000	71,500,000
Alabama	1,333,404	1,333,404	1,403,346	1,333,404	1,344,029	1,344,029	1,392,796
Alaska	161,871	166,536	211,717	177,767	190,545	190,545	209,868
Arizona	419,113	419,113	576,582	449,566	518,744	518,744	618,908
Arkansas	785,866	785,866	919,569	785,866	827,612	827,612	869,078
California	2,422,895	2,894,965	3,019,367	3,615,616	4,517,630	4,517,630	5,082,323
Colorado	390,479	425,700	648,379	479,806	601,561	601,561	664,447
Connecticut	599,625	646,371	1,057,216	706,744	951,493	951,493	1,003,002
Delaware	171,706	219,665	306,981	239,449	274,483	274,483	302,722
Florida	1,308,317	1,308,317	1,984,486	1,561,101	1,786,037	1,786,037	2,791,255
Georgia	1,713,940	1,713,940	1,744,879	1,713,940	1,570,981	1,570,981	1,798,149
Hawaii	272,771	272,771	347,386	272,771	312,647	312,647	327,651
Idaho	160,673	268,223	355,[illegible]6	260,259	320,090	320,090	334,045
Illinois	1,868,667	2,771,708	3,921,152	2,342,597	3,529,037	3,529,037	3,529,037
Indiana	705,322	1,071,829	1,806,896	1,156,189	1,626,206	1,626,206	1,679,924
Iowa	339,237	646,525	1,057,685	646,525	931,736	931,736	931,736
Kansas	307,754	528,113	868,836	528,113	763,952	763,952	763,952
Kentucky	1,168,538	1,168,538	1,572,681	1,168,538	1,325,622	1,325,622	1,361,119
Louisiana	1,599,212	1,599,212	1,599,212	1,599,212	1,639,291	1,639,291	1,639,291
Maine	219,144	528,362	696,828	328,729	447,145	447,145	447,145
Maryland	763,906	777,671	1,289,571	908,974	1,159,714	1,159,714	1,310,323
Massachusetts	938,251	1,122,687	1,896,158	1,166,761	1,706,542	1,706,542	1,706,542
Michigan	1,348,003	1,702,106	2,917,678	1,849,308	2,625,778	2,625,778	2,725,477
Minnesota	435,130	744,061	1,282,212	793,887	1,153,991	1,153,991	1,153,991
Mississippi	1,054,144	1,054,146	1,054,146	1,054,146	968,731	968,731	968,731
Missouri	924,143	1,102,418	1,860,791	1,139,298	1,674,712	1,674,712	1,674,712
Montana	173,091	251,812	341,979	257,088	325,781	325,781	329,272
Nebraska	238,968	388,687	603,160	392,945	542,844	542,844	542,844
Nevada	127,168	180,362	236,078	211,517	212,470	212,470	260,682
New Hampshire	168,729	254,488	364,694	268,997	330,025	330,025	347,194
New Jersey	1,328,860	1,439,458	2,454,680	1,588,290	2,209,212	2,209,212	2,312,633
New Mexico	344,103	344,103	446,957	344,103	402,261	402,261	423,201
New York	5,748,204	5,783,043	6,584,212	5,851,674	5,925,791	5,925,791	5,825,791
North Carolina	1,898,912	1,898,912	1,978,878	1,898,912	1,780,990	1,780,990	2,057,630
North Dakota	188,322	257,625	372,221	257,945	334,999	334,999	334,999
Ohio	1,326,705	2,096,595	3,609,067	2,216,061	3,268,160	3,268,160	3,277,411
Oklahoma	591,894	620,600	1,011,651	665,854	910,306	910,306	944,441
Oregon	281,821	650,536	722,713	302,845	650,442	650,442	698,820
Pennsylvania	2,229,201	2,634,898	4,561,114	2,634,898	4,105,003	4,105,003	4,105,003
Rhode Island	264,619	331,796	502,211	348,369	451,990	451,990	468,446
South Carolina	1,190,918	1,190,918	1,190,918	1,190,918	1,071,826	1,071,826	1,109,330
South Dakota	174,424	263,481	382,561	266,081	344,287	344,287	344,287
Tennessee	1,603,582	1,603,582	1,657,286	1,603,582	1,491,557	1,491,557	1,573,687
Texas	3,205,110	3,205,110	3,665,061	3,205,110	3,281,437	3,281,437	3,803,208
Utah	186,132	259,611	375,722	282,545	338,150	338,150	367,583
Vermont	140,712	208,698	286,010	215,783	257,409	257,409	267,090
Virginia	1,636,435	1,636,435	1,655,312	1,636,435	1,489,781	1,489,781	1,667,313
Washington	362,793	626,613	1,018,874	684,136	916,908	916,908	971,551
West Virginia	613,710	613,710	928,533	613,710	835,680	835,680	835,680
Wisconsin	670,924	917,175	1,534,739	956,079	1,381,265	1,381,265	1,381,265
Wyoming	131,750	186,843	267,500	190,516	222,750	222,750	229,083
Dist. of Columbia	249,708	282,906	416,391	285,784	374,932	374,932	374,932
Guam	62,825	71,588	106,772	74,601	139,762	139,762	217,362
Puerto Rico	691,075	787,695	1,152,437	820,606	1,037,200	1,037,200	1,236,085
Virgin Islands	35,900	40,907	59,867	42,629	79,863	79,863	123,695
American Samoa	35,900	40,907	59,867	42,629	79,863	79,863	127,695
Trust Territory	71,800	81,814	119,734	85,257	159,727	159,727	250,259

See page 2 for footnotes

Footnotes

1/ Distribution of $44,875,000 with 2 percent reserved for outlying areas, and the balance distributed to the 50 States and D.C. with a basic amount of $100,000 and the remainder distributed on the basis of the population aged 16 and over with less than 6 grades of school completed. (1960 Census) Allotment formula contained in P.L. 89-750 as amended.

2/ Distribution of $51,134,000 with 2 percent reserved for outlying areas, and the balance distributed with a basic amount of $150,000 to each State and D.C., and the remainder distributed on the basis of those 16 and over who do not have a certificate of graduation from high school (or its equivalent) and who are not currently required to be enrolled in school. (1960 Census) Allotment formula contained in P.L. 91-230 with a provision in the Appropriation Act that no State shall receive less than its FY 1971 grant amount.

3/ Distribution of $74,834,000 on the same basis as 2/ above.

4/ Distribution of $53,286,000 on the same basis as 2/ above except a change over to the 1970 Census data and a provision in the Appropriation Act that no State shall receive less than its FY 1972 grant amount.

5/ Distribution of $67,500,000 to each State D.C., Puerto Rico at 90% of the 1973 grant amount. The distribution to the other four outlying areas was prorated up from 90% of the 1973 grant amount. The Allotment formula contained in Section 305(a) of P.L. 91-230 as amended by P.L. 93-380 was not used because the appropriation amount was inadequate to make such a distribution and also comply with the provision in Section 313(a) of the Act that grants to each State shall not be less than 90% of the grants made to such State in FY 1973.

6/ Distribution of $67,500,000 on the same basis as 5/ above.

7/ Estimated distribution of $71,500,000, with 1% ($715,000) reserved for the outlying areas and the balance distributed with a basic amount of $150,000 to each State, D.C. and Puerto Rico, and the remainder distributed on the basis of those 16 and over with less than a high school diploma, (1970 Census), with no State receiving less than 90% of its FY 1973 amount. The distribution to the areas was based on the FY 1974 distribution of funds to those areas.

APPENDIX 4-C

ADULT EDUCATION
STATE ALLOCATIONS

State or Territory	1978 1/	1979 1/			Amount Necessary Without Hold Harmless 2/		
Total:	$80,500,000	$90,750,000			$84,814,435		
Alabama	1,586,261	1,788,980			1,671,589		
Alaska	220,998	232,019			225,216		
Arizona	693,089	769,762			775,354		
Arkansas	981,748	1,099,164			1,031,163		
California	3,945,545	4,448,297			8,182,957		
Colorado	743,645	829,714			781,032		
Connecticut	1,136,384	1,275,606			1,196,945		
Delaware	328,167	353,315			338,752		
Florida	2,623,761	2,972,938			2,770,728		
Georgia	2,042,162	2,316,934			2,159,873		
Hawaii	356,936	386,166			369,230		
Idaho	364,314	386,543			377,047		
Illinois	3,881,153	4,521,884			4,208,762		
Indiana	1,916,993	2,168,382			2,021,970		
Iowa	1,006,595	1,127,447			1,057,685		
Kansas	822,388	917,992			862,136		
Kentucky	1,549,201	1,747,348			1,632,858		
Louisiana	1,585,579	1,788,144			1,670,814		
Maine	483,240	530,475			503,038		
Maryland	1,491,074	1,680,358			1,570,748		
Massachusetts	1,804,080	2,151,648			2,008,301		
Michigan	3,124,352	3,544,182			3,301,059		
Minnesota	1,291,179	1,452,249			1,358,977		
Mississippi	1,055,134	1,182,887			1,108,908		
Missouri	1,891,128	2,136,877			1,994,549		
Montana	358,807	388,278			371,212		
Nebraska	594,779	657,556			621,203		
Nevada	279,655	297,955			287,358		
New Hampshire	359,491	411,882			383,125		
New Jersey	2,670,986	3,026,866			2,820,758		
New Mexico	467,213	511,985			486,059		
New York	6,602,287	7,512,984			6,985,617		
North Carolina	2,348,955	2,659,323			2,479,585		
North Dakota	360,295	389,977			372,284		
Ohio	3,761,348	4,271,088			3,975,928		
Oklahoma	1,068,787	1,198,679			1,121,383		
Oregon	785,316	876,987			823,060		
Pennsylvania	4,462,641	5,071,342			4,718,856		
Rhode Island	517,354	569,204			539,178		
South Carolina	1,259,102	1,413,643			1,326,994		
South Dakota	370,952	402,138			384,078		
Tennessee	1,795,034	2,027,210			1,892,765		
Texas	6,368,210	6,961,583			6,618,815		
Utah	603,023	638,736			618,055		
Vermont	287,028	306,360			295,170		
Virginia	1,903,090	2,150,527			2,007,241		
Washington	1,100,547	1,234,711			1,157,019		
West Virginia	890,578	995,562			934,999		
Wisconsin	1,569,619	1,769,760			1,653,747		
Wyoming	243,174	256,325			248,709		
Dist. of Columbia	408,613	445,114			423,977		
Guam	244,720	271,881			257,836		
Puerto Rico	1,404,318	1,583,639			1,480,957		
Virgin Islands	139,265	156,998			146,729		
American Samoa	139,265	156,998			146,729		
Trust Territory	281,750	317,624			296,830		

See page 2 for footnotes.

94-585 O - 77 - 8

Footnotes

1/ Estimated distribution of $80,500,000 with 1% ($850,000) reserved for the outlying areas and the balance distributed with a basic amount of $150,000 to each State, D.C., and Puerto Rico, and the remainder distributed on the basis of those 16 and over with less than a high school diploma (1970 Census), with no State receiving less than 90% of its FY 1973 amount.

2/ Estimated distribution of $90,750,000 with 1% ($907,500) reserved for the outlying areas and the balance distributed with a basic amount of $150,000 to each State, D.C., and Puerto Rico, and the remainder distributed on the basis of those 16 and over with less than a high school diploma (1970 Census). If the $90,750,000 is appropriated, each State will receive more than was received in FY 1973.

3/ Estimated distribution of $84,814,435 with 1% ($848,144) reserved for the outlying areas and the balance distributed on the basis of those 16 and over without high school graduation (1970 Census). $84,814,435 is estimated as the minimum amount required to assure that each State's allotment is as much as its FY 1973 amount; Iowa receives the same amount as FY 1973.

APPENDIX 5

Adult Education Program
Completions

	Eighth Grade	%	High School			
			Graduated	GED	Total H.S.	%
1976	243,009	17	125,344	128,599	253,943	16
1975	196,558	16	86,444	88,689	175,133	14
1974	171,533	18	57,461	72,436	129,897	14
1973	202,876	25	122,471	58,025	180,496	22
1972	178,767	22	111,588	50,464	162,052	20
1971	101,767	16				
1970	92,393	17				
1969	85,659	18				
1968	54,087	12				
1966 & 67	76,500	10				
Total	1,445,149		503,308	398,213	901,521	

APPENDIX 6

Adult Education Programs

Number of Personnel Receiving Training by Fiscal Year

1975	33,377
1974	30,058
1973	28,641
1972	26,397
1971	32,822
1970	35,131
1969	28,151
1968	23,972
1966 & 67	2,450
Total	240,999

APPENDIX 7-A

ADULT EDUCATION PARTICIPANTS, SEPARATIONS, ACHIEVEMENTS AND PERFORMANCE LEVELS 1975

PARTICIPANTS BY AGE GROUP			ENROLLMENT BY GRADE LEVEL			COMPLETION OF GRADE			PERCENT OF TOTAL	SEPARATION		PERCENT OF TOTAL
AGE	NUMBER	PERCENT	GRADE LEVEL	NUMBER	PERCENT	GRADE LEVEL	NUMBER	PERCENT		NUMBER	PERCENT	
16-24	492,615	40	1-4	427,424	35	4	150,881	35	12	162,820	34	13
25-34	338,140	28	5-8	500,696	41	8	197,066	45	16	197,066	41	16
35-44	195,225	16	9-12	293,090	24	12	86,444	20	7	111,377	23	9
45-54	110,716	9				Not Classified by Grades				17,785	2	
55-64	50,407	4										
65+	34,107	3										
Total	1,221,210	100		1,221,210	100		434,391	100	35	489,048	100	38

REASONS FOR SEPARATION

REASONS	NUMBER	PERCENT OF TOTAL
Met personal objectives	64,298	5.3
Take a job	42,023	3.4
Better job	21,404	1.8
Entered other training	35,602	2.9
Lack of interest /ealth reasons	35,823	2.9
	21,946	1.8
Child Care	19,024	1.6
Family prob m	22,825	1.9
Class time	20,682	1.7
Transportation	22,928	1.9
Other . known reasons	93,831	7.68
Unknown reasons	88,502	7.24
	489,048	40.14

TOTAL 489,048

PERCENT OF ENROLLMENT 40.5

PARTICIPANTS BY THEIR ECONOMIC STATUS

STATUS	NUMBER	PERCENT
Employed	530,257	43.4
Unemployed	459,130	37.6
Receiving public assistance	124,678	10.2
Removed from public assistance	16,954	1.4
Obtained job after participating	64,034	4.8

PERSONAL ACHIEVEMENTS

ACHIEVEMENT	NUMBER	PERCENT
Met personal objectives	64,298	5.3
Registered to vote- first time	23,451	1.9
U.S. Citizenship	11,998	.9
Income tax training	81,399	6.7
Better job	38,138	3.1

ADULT PERFORMANCE LEVEL

DEMOGRAPHIC VARIABLES	APL COMPETENCY LEVELS		
EDUCATION	1	2	3
0-3 years	85%	10%	6%
4-5 years	84	16	0
6-7 years	45	37	14
8-11 years	18	55	27
High school completed	11	37	52
Some college	9	27	64
College graduate plus	2	17	80
AGE GROUP	%	%	%
18-29	16%	35%	49%
30-39	11	29	60
40-49	19	32	49
50-59	28	37	35
60-65	35	40	24

APPENDIX 7-9

ADULT EDUCATION PARTICIPANTS
ACHIEVEMENTS AND SEPARATIONS
1976

PARTICIPANTS BY AGE GROUPS

AGE	NUMBER	PERCENT
16-24	687,654	41.52
25-34	451,029	27.23
35-44	259,889	15.69
45-55	139,782	8.44
55-64	67,277	4.06
65 +	50,463	3.06
TOTAL	1,656,094	100.00

EDUCATIONAL ACHIEVEMENTS

	EIGHTH GRADE DIPLOMA		ENTERED HIGH SCHOOL		PASSED GED		GRADUATED FROM HIGH SCHOOL		ENROLLED OTHER EDUCATION	
	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT
	123,353	7.4	73,717	4.4	116,945	7.0	256,678	1.5	115,013	6.9

PERSONAL ACHIEVEMENTS

	NUMBER	PERCENT
Registered to Vote First Time	31,998	1.9
U.S. Citizenship	11,675	.7
Drivers License	31,877	1.9
Income Tax Training	836,659	5.0

ECONOMIC STATUS

	NUMBER	PERCENT
Employed	584,393	35.3
Unemployed	580,734	35.0
Receiving Public Assistance	146,379	8.8
Removed from Public Assistance	18,953	1.1
Program Experience Produced Employment	62,722	3.8
Better Job	45,027	2.7

PARTICIPANTS WHO HAVE LIMITED ENGLISH SPEAKING ABILITY 1975

TOTAL	PERCENT
213,825	12.9

APPENDIX B

ADULT FUNCTIONAL

COMPETENCY: A Summary

ADULT FUNCTIONAL COMPETENCY: A Summary

The University of Texas at Austin
Division of Extension
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March, 1975

I. OBJECTIVES

The ability to use skills and knowledge with the functional competence needed for meeting the requirements of adult living is often called "functional literacy," "survival literacy," or occasionally "coping skills." The central objectives of the Adult Performance Level (APL) project are to specify the competencies which are functional to economic and educational success in today's society and to develop devices for assessing those competencies of the adult population of the United States.

Although millions, perhaps billions, of dollars have been spent on educational research, practically all of that money has been in support of studies designed to either develop educational programs or products or to compare the effectiveness or efficiency of competing programs and products. Unfortunately, questions of effectiveness and efficiency are irrelevant if the objectives on which programs are based are not appropriate.

Attempts to use the tools of behavioral and operations research to specify the transcendent objectives of educational systems have been practically nonexistent. Researchers are much more adept at answering the question, "Which reading program is most effective?" than the more fundamental question, "Why is reading important?" The Adult Performance Level project activities occur in the latter arena.

II. A THEORY AND METHODOLOGY OF ADULT FUNCTIONAL COMPETENCY

The APL theory of functional competency was arrived at in the following manner. The staff focused on the first objective of the project which was to identify basic requirements for adult living. Rather than rely upon expert opinion, four simultaneous lines of research were pursued.

1. Review of related literature and research. A wide variety of behavioral and social research was reviewed in order to find a way to categorize the needs of the undereducated and underemployed adult. In addition to the traditional sources of information, the documentation of dozens of studies or projects which had so-called disadvantaged groups as their target was collected and reviewed. Data gathered by the National Assessment of Educational Progress project was also of great use.

2. An extensive survey of state and federal agencies and foundations was conducted in order to identify characteristics which distinguished the successful from the unsuccessful adult. The assumption was that a major source of knowledge of minimum performance criteria existed in the experiences, accumulated data, and reports of professionals who deal with the minimally performing adult. For example, interviews were conducted with 49 individuals from 25 different state and federal agencies during the initial phase. These persons provided literature, studies, data, and comments relevant to the objectives of the project.

3. A series of conferences on adult needs was conducted in different regions of the country. Adult educators, members of the private sector (e.g., supervisors and personnel managers), and members of different state and federal agencies were brought together to review APL progress and to add their insights and information to the pool.

4. A continuing series of semi-structured interviews with undereducated and underemployed persons was begun in order to gather some first-hand data on their felt needs.

The result of these activities, which occupied much of the first year of the study, was a taxonomy of adult needs which finally came to be called "general knowledge areas." These general areas, which may be considered as the content of adult literacy, are now known as (1) consumer economics, (2) occupational (or occupationally-related) knowledge, (3) community resources, (4) health, and (5) government and law.

Having identified the general knowledge areas which seemed to be the most critical to adult performance related to the acquisition of literacy, data which had been obtained were then reanalyzed. This time, however, the concern was not with the content of literacy, but with the skills involved. Four primary skills seemed to account for the vast majority of requirements placed on adults. These skills were named (1) communication skills (reading, writing, speaking, and listening), (2) computation skills, (3) problem solving skills, and (4) interpersonal relations skills.

By this time it should be clear that the concern of the APL project is much more than the stereoptypical notion of literacy. Because the term "literacy" popularly connotes a low level of functioning (e.g., the ability to read and write one's name) which may have nothing to do with functional competence, we have chosen to excise the word "literacy" from the rest of this exposition. Instead, we will consistently use the phrase "functional competency." This practice seems to be preferable to reeducating the whole world concerning the true meaning of literacy.

APL findings allowed for the construction of a general theory of adult functional competency which is summarized below:

1. Functional competency is a construct which is meaningful only in a specific societal context. A corrolary of this thesis is that, just as functional competency is culture-bound, it is perhaps even more closely bound to the technological state of a particular society. The person who is functionally competent in one society may be incompetent in another. Furthermore, as technology changes, the requirements for competency change.

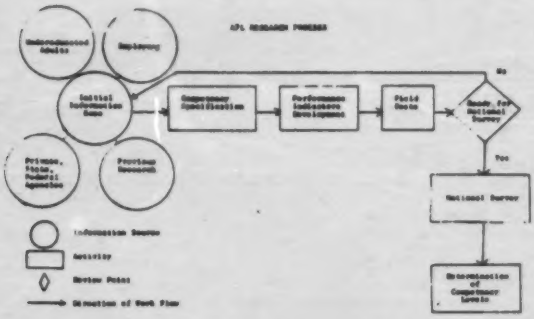
2. Functional competency does not consist just of a single skill or even a set of skills. Relevant to the skills and general knowledge areas identified by APL research, functional competency is two-dimensional; it is best described as the application of a set of skills to a set of general knowledge areas (see Figure 1 on following page) which result from the requirements imposed upon members of a society. The APL project used this approach as the basic framework for generating the essential elements or performance requirements of adult functional competency.

3. Adult competency is a function of both individual capabilities and societal requirements. To restate the thesis: A person is functionally competent only to the extent that he or she can meet the requirements which are extant at a given point in time. If the requirements change and the individual does not adapt by either acquiring more or different knowledges and skills, then that person becomes less competent. Functional competency is a dynamic process, rather than a static state.

4. Functional competency is directly related in a mathematical sense to success in adult life. This is an operating assumption which underlies all APL research activities. However we define functional competency, we expect more competent adults to be more successful.

The APL project has drawn from a variety of educational, sociological, economic and behavioral studies to analyze different criteria of success. Based on this experience, an index of success is used which is a composite of (1) income, (2) level of education, and (3) occupational status. The assumption that competency is directly related to success implies that not only must the measure be derived from performances which are taken from the adult milieu, but that performance on such a measure must be positively correlated to success.

Once a general theory of functional competency had been developed, and a taxonomy of associated adult performances created, the way was open for the evolution of the final APL methodology, which is summarized in the following diagram and discussion.



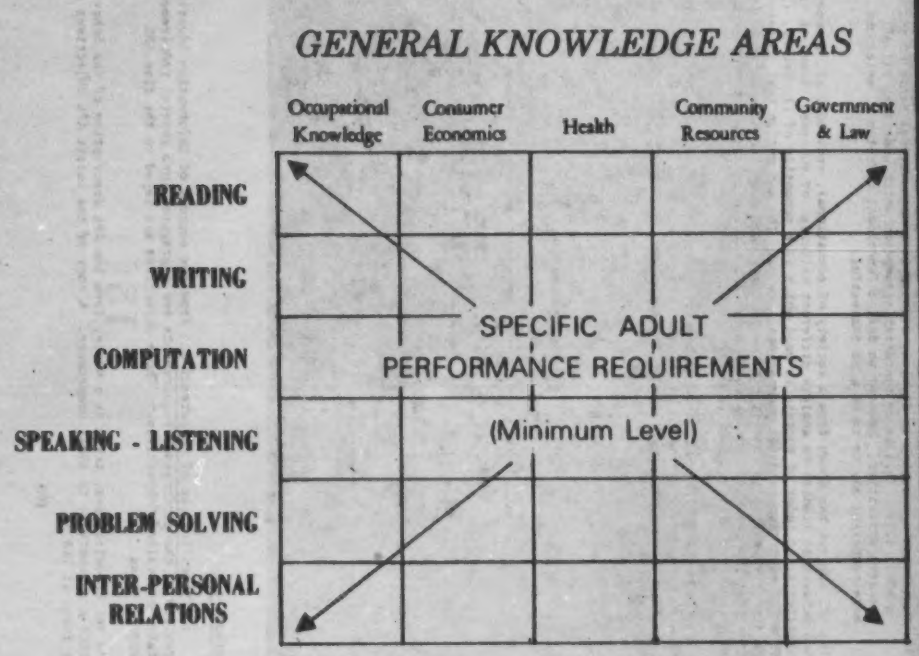
1982

Methodology

1. Specification of competencies. From the sources of information identified previously, the performance requirements are aggregated into general requirement statements called "objectives." These objectives are keyed to the five APL general areas.

The set of objectives, taken as a whole, form the APL description of the behaviors which are important to adult competency. A copy of the latest APL objectives can be found at TAB A.

ADULT PERFORMANCE LEVEL



2. Development of performance indicators. Performance indicators are written for each competency. These are not "test items" in the traditional sense. Because they reflect requirements taken from adult life, they are small simulations of what is demanded of the adult by his or her society, and they require the adult to employ communication, computation, problem-solving, and interpersonal relations skills in a variety of adult-related situations.

3. Field test and subsequent revision. Initial versions of the performance indicators were field tested with undereducated and underemployed adults. An initial round of field testing involving some 3,500 adults was conducted with the cooperation of Adult Basic Education programs in 30 states. Since that time, several thousand more adults have been tested in a number of states with subsequent versions of the performance indicators. Field testing and subsequent revision of performance indicators is a continuous, rather than one-time process, as indicated by the flow of activities in Figure 2.

Information gathered during the field test stage is used to respecify objectives and to improve the quality of performance indicators. These revised versions of both objectives and indicators are fed back to the original information sources for further revision and specification. The entire specification-field test-feedback-respecification process is cycled as many times as is necessary to reach consensus regarding a given objective, although typically three iterations are required. Each objective must also meet the empirical tests of non triviality and of positive correlation to various indicators of success. (Those of you who are so inclined will recognize this method as a somewhat modified Delphi technique.)

4. National assessment of competency. The next step in the APL research process is to determine national levels of performance with regard to the objectives. Performance indicators are formatted into a series of interview schedules. With the assistance of a subcontractor (Opinion Research Corporation, Princeton, New Jersey) a representative sample of adults is drawn from the continental United States, excluding Alaska and Hawaii, and data are obtained from this sample. To date, five independent samples of the population have been drawn, each with a size of not less than 1,500, for a total of 7,500 adults. The overall precision of each sample is about 4% at the 95% confidence level for an item which breaks at the 50-50 level.

5. Determination of competency levels. The final stage of the process is to determine meaningful and well-defined competency levels from data gathered in the various national surveys. This determination is accomplished by (1) examining the performance of the population on an objective-by-objective basis, and (2) describing overall competency in terms of three levels based on an aggregate index (This aggregate index of functional competency is defined below). In essence, the nationally representative survey data are used to develop "competency profiles" which are associated with different levels of adult success as measured by income, job status, and education. Three such levels have been chosen and are called simply APL 1, APL 2, and APL 3.

APL 1

(ADULTS WHO FUNCTION WITH DIFFICULTY)

APL 1's are those adults whose mastery of competency objectives is associated with:

1. Inadequate income of poverty level or less
2. Inadequate education of eight years of school or fewer
3. Unemployment or occupations of low job status

APL 2

(FUNCTIONAL ADULTS)

APL 2's are those adults whose mastery of competency objectives is associated with:

1. Income of more than poverty level but no discretionary income
2. Education of nine to eleven years of school
3. Occupations falling in medial job status range

APL 3

(PROFICIENT ADULTS)

APL 3's are those adults whose mastery of competency objectives is associated with:

1. High levels of income or varying amounts of discretionary income
2. High levels of education, high school completion or more
3. High levels of job status.

Notice that each of the three APL levels is a conjoint definition based on predicted income, education, and job status. Test data are used to "predict" an adult's success level, based on his functional competencies. Those persons classified as APL 1 are, by and large, "functionally incompetent" or adults who function with difficulty. APL 2's are competent, or adults functioning on a minimal level; and APL 3's are proficient in that their mastery of competency objectives is associated with the highest levels of income, job status and education.

Since the sample data are nationally representative, it is possible to estimate the proportion of the U.S. adult population which comprises each APL level. A discussion of these and other results follows.

III. HOW FUNCTIONALLY COMPETENT ARE U.S. ADULTS?

In general, the answer to the question posed by this section is "not as competent as we thought." Overall, approximately one-fifth of U.S. adults are functioning with difficulty. This estimate is based on a representative sample of adults performing on indicators which cover the five general knowledge areas and four skills.

The results of the APL national survey on functional competency will be presented as follows: (1) For each general knowledge area and skill area, the proportion of the population estimated to be in levels 1, 2, or 3 are reported; and (2) For each major demographic grouping, the proportion of the population estimated to be in levels 1, 2, or 3 are presented.

Competency levels by knowledge area and skills. The percentages of the adult population which are in APL levels 1, 2 or 3 as determined by performance on those indicators in the survey which measure knowledge and skills are presented in the following table.

Areas	APL Competency Levels 1	2	3
Occupational Knowledge	19.1	31.9	49.0
Consumer Economics	29.4	33.0	37.6
Government and Law	25.8	26.2	48.0
Health	21.3	30.3	48.3
Community Resources	22.6	26.0	51.4
Reading	21.7	32.2	46.1
Problem Solving	28.0	23.4	48.5
Computation	32.9	26.3	40.8
Writing	16.4	25.5	58.1
Overall Competency Levels	19.7	33.9	46.3

In terms of the general knowledge areas, the greatest area of difficulty appears to be Consumer Economics. Almost 30% of the population falls into the lowest level (APL 1), while one-third of the population is categorized as APL 2. Translated into population figures, some 34.7 million adult Americans function with difficulty and an additional 39 million are functional, (but not proficient) in coping with basic requirements that are related to Consumer Economics.

The highest proportion of proficient persons (most able to cope) is found in relation to Community Resources. Over half of the U.S. population falls into APL level 3. This is followed by Occupational Knowledge; again, almost half of the population is estimated to be proficient in dealing with occupationally-related tasks. Although the least proportion of persons in comparison to all areas are in level 1 of Occupational Knowledge, this still indicates that about one of every five adults in the U.S. function with difficulty or are unable to perform correctly on occupationally related performance indicators.

A greater proportion of people is unable to perform basic computations than the other skills. Approximately one-third of the population, or 39 million adults, functions with difficulty, and a little over one-fourth, or 29.5 million adults, is functional but not proficient in task performance on items

requiring mathematical manipulation. The area of greatest competency in comparison with other skills is in writing. However, even though almost three-fifths of the population performed adequately on tasks requiring writing skills, 16% of the adults in the U.S., or, some 18.9 million persons, are unable to cope successfully.

Competency levels by demographic groupings. The purpose for selecting certain demographic groupings and comparing the results within a group is to discover trends which might arise. As seen in the definitions given earlier for the APL three competency levels, "success" was an important variable in the study. In general, the three success indices (level of education, family income and job status) demonstrate a positive relationship with performance. The percent of the population estimated to be in APL levels 1, 2, and 3 for each reporting group of relevant demographic variables as indicated by task performance is presented in the following table.

Demographic Variables	APL Competency Levels 1	2	3
Education			
0-3 years	85%	10%	6%
4-5	84	16	0
6-7	49	37	14
8-11	18	55	27
High school completed	11	37	52
Some college	9	27	64
College graduate plus	2	17	80
Family Income			
under $5,000	40%	39%	21%
$5,000-$6,999	20	44	36
$7,000-$9,999	24	39	37
$10,000-$14,999	14	34	52
$15,000 plus	8	26	66
Job Status			
Unskilled	30%	38%	32%
Semi-skilled	29	42	29
Skilled	24	33	43
Clerical-Sales	8	38	54
Professional-Managerial	11	28	61
Age			
18-29	16%	35%	49%
30-39	11	29	60
40-49	19	32	49
50-59	28	37	35
60-65	35	40	24
Sex			
Male	17	31	52
Female	23	35	42

Demographic Variables	APL Competency Levels 1	2	3
Ethnicity			
White	16%	34%	50%
Black	44	39	17
Spanish-surname	56	26	18
Other	26	41	33
Occupational Status			
Employed	15%	28%	57%
Unemployed	36	30	34
Housewives	27	38	35
Number in Household			
1 person	21%	23%	56%
2-3	20	35	45
4-5	19	31	50
6-7	21	33	46
8 plus	43	22	35
Region			
Northeast	16%	36%	48%
North Central	15	42	43
South	25	37	38
West	15	35	50
Metropolitan Areas			
1 million plus	21%	39%	40%
under 1 million	15	38	47
Suburb	21	32	47
Urban	14	29	57

In relation to the "success" variables, for level of education the percentage of APL 1's rises steadily from about 2% for college graduates to about 85% for adults with less than 4 years of formal schooling. For family income, the percentage of functionally incompetent persons rises from about 8% for incomes of $15,000 or greater to 40% for those under $5,000 a year income. For occupation of chief wage earner, the percentage of APL 1's rises from about 11% for the professional and managerial category to approximately 30% for the unskilled.

There is a generally negative relationship between age and performance. Although the youngest group (18-29) does not have the lowest level of functionally incompetent adults, still the general trend is that the older the individual, the more likely that he/she is incompetent. It appears that males and females perform about the same; although there are minor differences with males estimated to have a greater percentage of APL 3's than females. As for ethnic groups, it appears that there are great differences between Whites and all other minority groups. While 16% of the Whites are estimated to be functionally incompetent, about 44% of the Black and 56% of the Spanish-surname groups are estimated to be so. Here, as with other variables that have been discussed, the differences are probably due to the relatively lower levels of income, education, job status, and job opportunity found among minority groups in this country.

The employed show a smaller percentage of APL 1's (15%) than did housewives (27%) who, in turn, show a smaller percentage than did the unemployed (36%). Here, again, the differences in the "success" levels (i.e., amount of income, etc.) of especially the employed and unemployed may be used to explain the variations.

With regard to the number of people in the household, the only apparent difference in percentage of APL 1's occurred in households where more than 7 people lived. While for most household populations, the percentage of functional incompetents is about 20%, for the eight or greater group, the percentage rises to 43%.

The demographic comparison of regions of the U.S. indicates that while the Northeast, Northcentral and Western parts of the U.S. have about the same percentage of APL 1's, 2's and 3's, the South has more APL 1's and less APL 3's. While all other regions of the country are estimated to have about 16% functionally incompetent adults, approximately 25% in the South are predicted to be APL 1's. Thus, a greater percentage of adults in the South appear to be in need of educational assistance than other parts of the country.

Rural areas have the greatest estimated percentage of APL 1's (27%) with cities over one million and suburbs slightly less (about 21%), and cities under one million and other urban areas having the least percentage of APL 1's.

IV. THE VALIDITY AND RELIABILITY OF APL

Validity

A strong case can be made for the validity of the APL objectives and the performance data which relate to them. Consider the following argument:

1. The objectives derive from inputs from the appropriate segments of society. These objectives, which form the APL description of adult functional competency, are the products of a research process which subjects each one to two critical tests: (1) Is the objective perceived as being important (valid) by undereducated and underemployed adults, employers, educators, and a number of other social service agencies who deal with "unsuccessful" adults? (2) Given that consensus among these groups is reached, is there evidence that mastery of a particular objective increases the probability of adult success, as indicated by income, education, and job status? Only if both questions are answered affirmatively is an objective considered to have been validated.

2. Great care was taken to construct performance indicators which were, within budgetary and time constraints, the best possible measures of the objectives. In addition to a technical review by consultants, performance indicators were also reviewed by the groups mentioned in 1. above, and were processed through several cycles of field testing and redesigning before being used on a national sample. The indicators are clearly not perfect in an absolute sense. It is impossible to obtain absolute consensus or to produce perfect correlation on any indicator. Nevertheless, there is good evidence that the APL performance indicators serve the purposes of the study very well.

3. Great care was also taken to design a national sample of adults and to exercise the proper control over field procedures in order to produce meaningful and precise results. As mentioned earlier, the sample design is straight forward, has a known precision, and is reproducible in the scientific sense. Sample design and field procedures were carried out according to specifications by an organization which has years of experience in drawing national samples and in conducting house-to-house surveys.

4. Perhaps the most important kind of "validity" is the acceptance and degree of use to which the objectives and test data will be put. Preliminary evidence indicates that, at least among the adult education community, there will be widespread acceptance and utilization. Already, several statewide efforts (notably Mississippi, Texas, and Alabama) are in progress to translate the objectives into relevant curriculum and staff development materials and methods.

Reliability

Although the term "reliability" is quite often used to refer to different constructs, "reliability" means temporal stability in the context of the APL project. That is, APL performance indicators are reliable to the extent that, assuming no major changes have taken place in either societal requirements or in the level of achievements of the general population, repeated measures produce identical results. Reliability is a function not only of the format and content of the interview itself, but of the sampling design and the field procedures. These features have just been discussed.

The traditional method of estimating reliability is repeated testing of a given sample. Coefficients of reliability calculated from total scores are used as decision variables for the estimation of reliability. No such coefficients are available at this time for APL measures, for two good reasons; (1) Reliability coefficients are based on total scores. Total scores are never calculated in the development of competency levels from APL data. (2) A test-retest design for a national sample would have cost at least $100,000. This was money which was better spent on development and validation of objectives.

There are, however, two valuable sources of information which are relevant to a discussion of the reliability of APL measures:

1. The fifth APL national survey consisted of a composite battery of items which had been used in previous surveys. Although changes were made in many of the items, some useful comparisons can be made on an item-by-item basis between results from earlier surveys and results on the final survey. Theoretically, if an item had not been changed at all, the estimates from two independent samples should differ only by the precision which each sample affords. For two independent samples of size 1,500, most items require a difference of 4% or more to indicate statistically significant differences (.05 level).

For the 39 items which were not changed between surveys, the mean absolute difference was 5.5% with most items having slightly higher p-values on the second sample than on the first. Although 5.5% is somewhat higher than the anticipated 4%, the reason for these results is quite clear. In order to minimize interview length (and maximize budgets), respondents in earlier surveys who failed to get a specified number of items correct during the initial portion of the interview were discontinued, under the assumption that most, if not all, of the remaining responses would be incorrect (items were arranged in order of difficulty). For the final survey, this criterion was omitted, so that every respondent completed all parts of the interview. The net effect was a desirable one -- all respondents attempted practically every item. A side effect, however, was that p-values for easier items placed later in the interview tended to rise when compared with earlier results. Consequently, the overall difference between the samples is exaggerated. Most of that difference is due to a change in the criterion for completion, rather than factors relative to sample size, item format, or field procedure.

2. Another independent sample, drawn specifically for the State of Texas, using funds provided by the Texas Education Agency and the Governor's Office, was simultaneous with the final national survey. Although detailed results are too numerous to mention here, data from the Texas effort, which replicated the national one, are remarkably consistent with national trends. The relationship of test performance to variables such as income, education, occupational status, urbanicity, ethnicity, sex, age, and a number of other demographic variables is practically identical for Texas and the nation. Further, patterns of responses for the Texas sample are essentially identical to those of the national sample. Items with high p-values nationwide have high p-values in Texas, and those with low p-values nationwide have low p-values in Texas.

A final note of caution regarding the interpretation of APL results, particularly those dealing with the three levels of competency, must be sounded here. Those who are familiar with the APL objectives know very well that each one comprises a broad sector of human behavior. Clearly, it is fruitless to try to list and to measure all the behaviors which are embedded within a particular APL objective. Ultimately, one must operationalize the objective by selecting a set of behaviors as measures of that particular objective. All APL estimates of competency are based on such operational definitions, and their limitations must be kept in mind.

V. HOW DO WE MEET THE NEED?

The United States has been in a preeminent position of world power and influence for decades. Citizens of this country are justifiably proud of their country's accomplishments in industry, science, technology, the arts, and, perhaps most of all, in their system of universal free public education. Millions of mothers and fathers have intuitively subscribed to that tenet of the American dream which holds that education is the major avenue to success for their daughters and sons. Accordingly, Americans are, by many standards, the best educated and the most affluent people on earth.

Concomitant with this historical emphasis upon education and its benefits is the popular conception that "illiteracy" is a problem unique to the economically underdeveloped nations -- the "Third World" countries. How could the United States, with its billions of dollars spent on education each year, have any significant literacy problem?

To be sure, we have been willing to commit a very small portion of our resources, private, state and federal, to literacy and related programs. The motivation behind this commitment is probably not due to a perception of a widespread need which is crucial to the well-being of our country. More likely, it is one of noblesse oblige. For the most part, ABE has been perceived as a peripheral enterprise with an extremely limited clientele. After all, if only a minute fraction of the population is "illiterate," there can be no justification for spending more than a minute fraction of the nations' resources toward eliminating the problem.

As long as "literacy" is conceived to be nothing more than the ability to read and write one's name, or to score at some low grade level on a standardized test developed for children, then the United States probably does not have a significant problem. On the other hand, if the concern is with the adult who does not possess those skills and knowledges which are requisite to adult competence, then the results of the APL research suggest that there is, indeed, a widespread discrepancy in our adult population between what is required of them and what they achieve. It is surprising, perhaps even shocking, to suggest that approximately one of five Americans is incompetent or functions with difficulty and that about half of the adult population is merely functional and not at all proficient in necessary skills and knowledges.

The rest of this section deals with other implications and possible methods of implementation or dissemination. Because the original focus of the APL project was the ABE system, more attention will be given to that enterprise than to other educational systems. There are, however, implications for elementary and secondary education, which will also be presented.

Implications for Adult and Adult Basic Education

Let us summarize the products of the APL project to date. Essentially, the APL project was given the charge of specifying those competencies which are functional to adult life, with the implication that these competencies would become the core of objectives for ABE. Specifically, the APL project has accomplished the following tasks:

1. Developed and validated a series of objectives which comprise adult functional competency.

2. Conducted a series of national assessments of performance of adults with respect to these objectives.

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3. Created, as a by-product of the research, a prototype test of adult functional competency.

The discussion which follows describes some activities or products which are indicated for ABE at four operational levels: the classroom or instructional level, the local program level, the state level, and the federal or national level.

--- At the CLASSROOM LEVEL (Teacher-student)

1. Curricula based on APL objectives. Obviously, the APL objectives form the core around which ABE curricula may be constructed. The form which these curricula might take could, and probably will, be quite varied in order to meet local requirements. As mentioned earlier, several major curricula development efforts are already underway.

2. Diagnostic, placement, and assessment devices. The APL study has built a solid research base for developing measures of overall student progress, pacing measures, such as curriculum-embedded tests, and devices used for placement or diagnosis.

--- At the LOCAL PROGRAM LEVEL (Local Program Director)

1. Guidelines for program objectives. Much curricula development work in ABE is conducted at this level. The APL objectives form a valuable set of guidelines for developing local curricula.

2. Local program effectiveness assessment. Because of the ambiguity regarding the instructional goals of ABE, local programs have traditionally had difficulty in documenting or measuring progress. Since the APL research has specified objectives and suggested ways of measuring behavior related to these objectives, an opportunity exists for local programs to meaningfully assess their effectiveness.

3. Staff Development. Any APL curriculum effort will require extensive training and development of local staff. For more details, see "Staff Development" under the State Level.

--- At the STATE LEVEL (State Director of ABE and other concerned State Officials)

1. State guidelines or foci for instructional objectives. Since education is properly a function of the state, the state department of education in the form of the state director of adult education and his or her staff, has an opportunity to take the leadership in providing comprehensive programs dealing with basic education for adult life. With appropriate input from other state agencies, state-level officials can provide guidelines and direct resources to develop instructional programs which address the functional competencies identified by the APL project.

2. Statewide instructional effectiveness assessment. States have traditionally experienced difficulty in collecting evidence regarding the effectiveness of their programs. APL objectives and data can form a base upon which to meaningfully document statewide ABE program progress, as well as to provide a framework for reporting to the federal level.

Related to the function of assessing instructional effectiveness, is the possibility of conducting statewide competency assessments. Even though national levels of performance are known, APL surveys do not provide enough precision to describe a particular state. Since states are bound to differ with respect to performance on different APL objectives, conducting state assessments of adult competence could provide extremely valuable data for planning programs.

3. Staff Development. Preliminary experience with curricula designed around APL objectives indicates that teachers will require significant retraining in order to function effectively in providing basic education for adult life. Those efforts which are now underway utilize the teacher more as an instructional manager and resource person rather than in the traditional role of lecturer and imparter of knowledge. Furthermore, there are strong suggestions that future APL-based curricula will require fulltime, highly trained teachers. These requirements certainly have implications for staff development and for teacher certification, which are primary concerns of the state director.

--- At the NATIONAL LEVEL (OE)

1. National Dissemination of APL objectives. Although the Office of Education is clearly not in the business of setting national educational standards, there is nevertheless the opportunity to provide leadership which can come only from this level in disseminating the objectives as suggested foci for programs dealing with undereducated adults. The Office of Education, working with a variety of state agencies and other federal agencies, can have a major impact on educational practices at every level insuring that the results of the study and its implications for practice are well known throughout the educational and social service communities.

2. National Dissemination of APL Data. The Office of Education now has at its command a process which can meaningfully describe the level of competency of the adult population of the U.S. For reasons similar to those described above, the Office of Education has an opportunity to provide guidance, leadership, and assistance to states which it never had before. The ways in which this process can be used are numerous: Assessing the effectiveness of federally-funded programs, developing more useful reporting procedures, and maintaining a continuous assessment of national literacy levels over time are only a few of them.

Implications for Elementary and Secondary Education

The astute reader will have perceived by now that (assuming the research is any good) the implications of APL research are by no means confined to adult or adult

basic education. If it is true that a significant proportion of Americans do not possess important skills and competencies, it is patently wasteful of human and financial resources to wait until persons reach adulthood to begin to address those needs.

When one examines the APL objectives, it is interesting to compare the competencies described in the APL objectives to the curricular offerings typically found in elementary and secondary education. A brief examination will quickly reveal that, although many of them are indirectly addressed, not much of the typical school day is spent in focus on the objectives per se. This is not to indict the elementary and secondary systems -- too much of that has occurred already. The findings do suggest, however, that to the extent that producing functionally competent adults is an important goal of elementary and secondary education, state and local education agencies would do well to examine the functional competencies vis a vis their curricula and state requirements for high school completion.

Some states, notably Oregon, have already begun requiring students to complete a series of adult life-related performance tasks before awarding certification of high school completion. This is the kind of practice which seems to be entirely consonant with the APL findings.

To Summarize

Because of precedent and tradition, "literacy" is a static, low-level concept which is largely unrelated to the pragmatic requirements for adult life in this country. Using the term "functional competence", the APL project has developed a research process which has identified competencies which are important to success as adults. Using an assessment method which stems from viewing functional competence as a function of individual capabilities and societal requirements, the APL project has produced data which suggest that, contrary to popular belief, many adults do not have that basic education for living which is indicated for even minimal levels of success. These results, and the objectives upon which they are based, can have profound implications for educational practice, and form a base of information and evidence which can be used to make different educational systems more responsive to the needs of both their clients and society.

TAB A

A1

A NOTE CONCERNING APL GOALS, OBJECTIVES, AND TASKS

Attached is the current version of the APL description of competency. This description is organized by general knowledge area. Within each general knowledge area, requirements are described in three successive levels of detail.

The first level is a goal statement, which is a broad description of the capability which the functionally competent adult should possess for that particular general knowledge area.

The goal statement is defined by a series of intermediate-level requirements called objectives. The objective is the fundamental building block of the APL description of competency. Some degree of mastery of these objectives, the degree depending on the adult's individual milieu, is required for true functional competency.

Each objective, in turn, is described by a series of situation-specific requirements called tasks. Mastery of an objective is manifested by the individual adult's ability to perform a group of tasks -- to respond appropriately to specific situations which reflect the requirements of the objective. Since the tasks are currently undergoing a thorough revision, only the goals and objectives are included in this presentation.

The implications of this caveat concerning the APL tasks become especially important when one attempts to translate the APL description of competency into curriculum or other training programs for undereducated adults. When used for this purpose, tasks should be considered as paradigms or general guidelines. They should not be interpreted as being ingraved in stone, because it is the objective that is the most important element in the requirements for functional competency.

A2

OBJECTIVES FOR FUNCTIONAL COMPETENCY

OCCUPATIONAL KNOWLEDGE

GOAL: TO DEVELOP A LEVEL OF OCCUPATIONAL KNOWLEDGE WHICH WILL ENABLE ADULTS TO SECURE EMPLOYMENT IN ACCORDANCE WITH THEIR INDIVIDUAL NEEDS AND INTERESTS.

1. OBJECTIVE: To build an oral and written vocabulary related to occupational knowledge.

2. OBJECTIVE: To identify sources of information (e.g., radio broadcasts, newspapers, etc.) which may lead to employment.

3. OBJECTIVE: To define occupational categories in terms of the education and job experience required, and to know minimum requirements of given occupations.

4. OBJECTIVE: To be aware of vocational testing and counseling methods which help prospective employees recognize job interests and qualifications.

5. OBJECTIVE: To understand the differences among commerical employment agencies, government employment agencies and private employers.

6. OBJECTIVE: To prepare for job applications and interviews.

7. OBJECTIVE: To know standards of behavior for various types of employment.

8. OBJECTIVE: To know attributes and skills which may lead to promotion.

9. OBJECTIVE: To know the financial and legal aspects of employment.

10. OBJECTIVE: To understand aspects of employment other than financial which would affect the individual's satisfaction with a job.

CONSUMER ECONOMICS

GOAL: TO MANAGE A FAMILY ECONOMY AND TO DEMONSTRATE AN AWARENESS OF SOUND PURCHASING PRINCIPLES.

1. OBJECTIVE: To build an oral and written consumer economics vocabulary. This should be an ongoing process through each objective.

2. OBJECTIVE: To be able to count and convert coins and currency, and to convert weights and measures using measurement tables and mathematical operations.

3. OBJECTIVE: To understand the concepts of sales tax and income tax.

4. OBJECTIVE: To be aware of the basic principles of money management, including knowing the basics of consumer decision-making.

5. OBJECTIVE: To use catalogs, consumer guides and other reference documents to select goods and services.

6. OBJECTIVE: To be aware of factors that affect costs of goods and services and to determine the most economical places to shop.

7. OBJECTIVE: To be aware of the principles of comparison shopping, and to be aware of the relationship of price to quality among brand names, and between "firsts" and "seconds" and to be able to substitute economy for quality according to individual needs.

8. OBJECTIVE: To know the various methods by which goods are packaged and to know which methods are most cost-effective in terms of quality and storage.

9. OBJECTIVE: To be able to take advantage of sales by knowing where to find them, by planning for their eventuality, and by being able to determine which are of worthwhile value to the individual.

10. OBJECTIVE: To be aware of advertising techniques and to recognize appropriate and inappropriate forms of selling and advertising.

11. OBJECTIVE: To know how to order food and to tip in a restaurant.

12. OBJECTIVE: To be aware of different stores where home furnishings can be purchased and to determine the best buys for essential and luxury items based on individual needs and resources.

13. OBJECTIVE: To determine housing needs and to know how to obtain housing and utilities based on those needs.

14. OBJECTIVE: To know how to buy and maintain a car economically.

15. OBJECTIVE: To know basic procedures for the care and upkeep of personal possessions (home, furniture, car, clothing, etc.) and to be able to use resources relating to such care.

16. OBJECTIVE: To know the various media of exchange and to be familiar with banking services in the community.

17. OBJECTIVE: To develop understanding of credit systems.

18. OBJECTIVE: To collect information concerning the types of insurance available and to be able to select the best insurance for the individual and his family.

19. OBJECTIVE: To know the recourses available to the consumer in the face of misleading and/or fraudulent product/service claims or tactics.

20. OBJECTIVE: To understand the implication of consumption vis-a-vis finite world resources and to recognize that each individual's pattern of consumption influences the general welfare.

HEALTH

GOAL: TO INSURE GOOD MENTAL AND PHYSICAL HEALTH FOR THE INDIVIDUAL AND HIS FAMILY.

1. OBJECTIVE: To develop a working vocabulary related to health, especially as it related to basic medical and physiological terminology, for accurate reporting of symptoms and following a doctor's directions in applying treatments.

2. OBJECTIVE: To understand how basic safety measures can prevent accidents and injuries and to recognize potential hazards, especially as such hazards relate to home and occupational safety.

3. OBJECTIVE:To know medical and health services in the community.

4. OBJECTIVE: To understand the physical and psychological influences on pregnancy as well as the need for proper prenatal care.

5. OBJECTIVE: To underatand the importance of family planning, its physical, psychological, financial and religios implication; and to have knowledge of both effective and ineffective methods of birth control.

6.OBJECTIVE: To understand general child rearing practices and procedures for guarding the health and safety of a child and to apply proper action in accordance with needs and resources.

7. OBJECTIVE: To understand the special health needs and concerns of the adolescent (and his parents) and to become acquainted with some ways to ease the transition from childhood to adulthood.

8. OBJECTIVE: To understand what contributes to good mental health and physical health and to apply this understanding toward preventive care and health maintenance.

9. OBJECTIVE: To understand the interaction of self as a member of small groups (family, work, club, class) and to use this understanding to promote effective interpersonal coping skills.

10. OBJECTIVE: To be able to apply first aid in emergencies and to inform proper authorities of sudden illnesses, various accidents or natural disasters.

11. OBJECTIVE: To plan for health or medical insurance and to be aware of available financial assistance for medical or health problems.

12. OBJECTIVE: To understand what constitutes a proper diet and to plan meals according to individual needs and resources.

13. OBJECTIVE: To understand federal control of various drugs and items for health protection and to understand how public reaction influences this control.

GOVERNMENT AND LAW

GOAL: TO PROMOTE AN UNDERSTANDING OF SOCIETY THROUGH GOVERNMENT AND LAW AND TO BE AWARE OF GOVERNMENTAL FUNCTIONS, AGENCIES AND REGULATIONS WHICH DEFINE INDIVIDUAL RIGHTS AND OBLIGATIONS.

1. OBJECTIVE: To develop a working vocabulary related to government and law in order to understand their functions in society and in the personal life of the individual. This should be an ongoing process as each objective is covered.

2. OBJECTIVE: To develop an understanding of the structure and functioning of the federal government.

3 OBJECTIVE: To investigate the relationship between the individual citizen and the government.

4. OBJECTIVE: To understand the relationship between the individual and the legal system.

5. OBJECTIVE: To obtain a working knowledge of the various legal documents which the individual will need as a member of society.

6. OBJECTIVE: To explore the relationship between government services and the American tax system.

COMMUNITY RESOURCES

GOAL: TO UNDERSTAND THAT COMMUNITY RESOURCES, INCLUDING TRANSPORTATION SYSTEMS ARE UTILIZED BY INDIVIDUALS IN SOCIETY IN ORDER TO OBTAIN A SATISFACTORY MODE OF LIVING.

1. OBJECTIVE: To build an oral and written vocabulary pertaining to community resources and to define community resources in terms of (a) services to community members and (b) services to persons outside the community or non self-supporting members of society (unemployed, criminals, insane, etc.)

2-3. OBJECTIVE: To know the types of community services provided for members of society including the purposes of and how to gain access to these services.

4. OBJECTIVE: To understand how and when to apply for community services, such as Social Security, and Medicare.

5. OBJECTIVE: To know various recreational services available in the community.

6. OBJECTIVE: To be able to utilize information services of the community.

7. OBJECTIVE: To be aware of the people and agencies in the community whose job it is to register and act upon citizen complaints.

SUBSET: TRANSPORTATION

8. OBJECTIVE: To build an oral and written vocabulary of transportation terms, including car insurance terms.

9. OBJECTIVE: To be able to recognize and utilize signs related to transportation needs.

10. OBJECTIVE: To develop a familiarity with transportation schedules, and to calculate fares.

11. OBJECTIVE: To be able to find and utilize information facilities.

12. OBJECTIVE: To learn the use of maps relating to travel needs.

13. OBJECTIVE: To recognize time zone boundaries and understand the concept of daylight savings time.

14. OBJECTIVE: To request information on and make verbal and written travel and overnight accomodations/reservations.

15. OBJECTIVE: To understand the relationship between transportation and public problems.

16. OBJECTIVE: To understand driving regulations, including safety, courtesy, and rules such as having a driver's license, car license plates, etc.

APPENDIX 9

A Brief Summary of Accomplishments in the Adult Education Program

The adult education program has made tremendous strides in providing accessible and relevant education to all disadvantaged adults desiring to develop basic skills. For millions of adults in the United States the lack of a basic education is a tragic condition which handicaps them in many ways. It is an inadequacy that limits their ability to earn a decent living, to break the cycle of social dependency and to provide their families with the necessities of life. This inadequacy colors their concepts of themselves, their relationships with others and contributes significantly to the self concepts of their children. Although the symptoms are seen as unemployment, poor health, family breakup, crime, child abuse, and drug addiction, a root cause can be traced to lack of education, to the failure of a highly developed educational system to recognize and forcefully address the education needs of a substantial segment of the adult population.

A promising first step was taken in the mid 1960's when the adult education program was established as an important part of the Nation's war on poverty. As originally conceived under Title II B of the Economic Opportunity Act of 1964, the Adult Education Program sought to remedy the inequities affecting the educationally disadvantaged by initiating programs of instruction for persons 18 years of age and older whose inability to read and write the English language constituted a substantial impairment of their ability to get or retain employment commensurate with their real ability. Specifically, the

program was intended to help eliminate such inability and raise the level of education of such individuals with a view to making them less likely to become dependent on others, improving their ability to benefit from occupational training and otherwise increasing their opportunities for more productive and profitable employment, and making them better able to meet their adult responsibilities. Under this legislative purpose, States were to establish pilot projects to demonstrate, and develop instructional programs and methodologies.

Two years later the Adult Education Act of 1966 redirected the Program from its developmental stage to one of establishing and expanding basic educational programs for adults. Subsequent amendments reinforced and strengthened this goal by further broadening the program's purpose and scope. In particular, the Elementary and Secondary Education Amendments of 1970 mandated the program "to expand educational opportunity and encourage the establishment of programs of adult public education that would enable all adults to continue their education to at least the level of completion of secondary school and make available the means to secure training that would enable them to become more employable, productive, and responsible citizens." The purpose of the adult education program has not changed since 1970; however, succeeding amendments to the Act enhanced State operations and aided the program in responding to the needs of special segments of the disadvantaged adult population. Specifically, the Education Amendments of 1974 allowed State agencies to increase the relevancy of adult education services. While maintaining emphasis on basic education, secondary education was offered and thereby provided continuity of instruction from the eighth to the twelfth grade and gave

adults a much needed credential which was useful in obtaining employment, job training, or further education. Institutionalized persons and adults of limited English-speaking ability were aided in larger numbers by programs especially designed for them. States also supplemented cooperative arrangements with other Federal and State sponsored occupational, training, and reading programs. As a result of coordination, the duplication of services offered by CETA, Vocational Education, and Right to Read were reduced and benefits to participants were enhanced.

The most important aspect of the adult education program is impact on participants or the "human factor." A few actual case histories of adult basic education participants will illustrate this. First let us look at Alice Klfring. After being told all her life that she was stupid and could never learn to read, Alice has learned to read. To age sixteen Alice struggled to overcome a speech handicap. She was kept in kindergarten for five years and told by her first principal that she would never get an education. When she enrolled in the Adult Basic Education Learning Center in Sioux Falls, she could not read her name. Alice had to carry a piece of paper around all the time with the names of her five children on it so that she could spell their names. She now writes letters and birthday cards to her mother and friends as well as notes to her husband. Alice is thankful that after 37 years she found someone who cared enough to take the time to teach her to read and write. She no longer has to think she is stupid.

The adult education program also assists handicapped persons like Rose Juliano. Handicapped by polio and recovering from serious injuries from two automobile accidents, Rose began adult education classes while a patient at Rockford Memorial Hospital and has since completed the adult education program. Her desire is to continue

her education and to assist other handicapped persons in receiving educational opportunities in order to be afforded a better life. She has been a member of the National Paraplegic Foundation for ten years and serves as a board member of the School of Hope. Successful in obtaining special parking accommodations for the handicapped at the Hospital, she is now actively seeking the removal of architectual barriers to the handicapped from Rockford's public buildings.

Manuel Sanchez is an example of how the adult education program assists people in meeting their adult responsibilities. Upon completing the ABE program, Manuel applied for and was accepted in a paraprofessional teaching position which aided in the granting of his parole. Manuel, born in Puerto Rico, moved to Boston at the age of eleven. He completed the fourth grade in elementary school in San Juan, but because of his lack of skills the Boston school placed him in the first grade. This led to frustration, and a few years later he dropped out of school completely. His life took a turn and he went from reform schools, to jails, to houses of correction, and finally to Norfolk State Prison. It was in the State Prison that Manuel rediscovered education. For one year he attended every class in the evening program in order to improve his English and life-coping skills. This led to his serving as instructional aide for the prison bilingual classes. Manuel Sanchez is now a free man with an important job as liaison between ABE programs in prisons and local ABE programs.

As an example of the way in which adult education assists participants economically there is John Curtis. Upon completing the adult education program, Mr. Curtis was able to progress from custodian to supervisor. Prior schooling was only to the sixth grade

level. Employed as a custodian at a "Welcome Station" for the State of Tennessee, he was promised a supervisory position if he completed the adult education program. He did so and functioned successfully in a supervisory position until he left to open his own restaurant.

Adult Education is also improving educational skills of older Americans such as Leonard Young who, as a young boy, traveled from State to State with his Cherokee Indian father and therefore was never able to attend school regularly. Once he got the opportunity to attend school, he went only a few months before illness caused him to dropout Upon return to public school, other students ridiculed him because he was much older and larger than other first graders. He soon became discouraged and left school again never to return until attending adult basic education classes three years ago. At that time, he had to sign his paycheck with an "X". Now at the age of 50, Mr. Young has learned cursive writing, simple arithmetic, and is slowly learning to read.

Adult Education benefits the children of disadvantaged adults. As explained by former ABE students: often, children know that education came last for their parents, so it comes last for the children too. But when the children see their parents putting effort into education, they became very proud of their parents and change their minds about dropping out of school or putting education last.

The population to be served by the adult education program contains more than 52 million adults, like Rose Juliano and Manuel Sanchez before they attended the ABE program, who do not have a high school diploma. Of these, approximately 15 million adults, like Alice Elfring and Leonard Young, have completed less than eight years of formal

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education. But unlike Alice and Leonard these adults cannot read and write. Among those eligible to be served are approximately 750,000 high school students who dropout each year and about 400,000 immigrants arriving each year, a substantial number of whom need bilingual instruction as well as instruction in English as a second language in order to function as citizens in the United States. These educationally disadvantaged adults are mostly unemployed or underemployed, many are on welfare. These adults experience defeat and despair that feeds back to the family and community. The severly undereducated find themselves relegated to second class citizenship by their inability to function within the changing economic and social framework of the technologic age. In the midst of our affluent society they are bleak and unstable islands of wasted human talent repeated generation after generation.

Currently the program serves over one million educationally disadvantaged persons per year in elementary and secondary level programs offered in local communities. Participants represent a cross section of racial and ethnic groups with women outnumbering men. Many participants are persons of limited English-speaking ability, handicapped, institutionalized, and elderly. Specifically, in Fiscal Year 1976, 1,656,094 adults were enrolled in the adult basic and secondary education program. Of these, about 123,353 students completed eight grades of education; 142,623 completed the twelfth grade. Additionally, 146,379 students were receiving public assistance, 580,734 were unemployed, 107,749 obtained employment or better jobs, and 18,953 were removed from public assistance.

Over the past twelve years the Adult Education Program has assisted many adults to substantially reduce their illiteracy. During the brief history of the adult education program enrollments have increased from 37,991 in Fiscal Year 1965 to 1.6 million in Fiscal Year 1976. As a result of services under this program, over two million adults have either completed the eighth grade or graduated from high school. Each year the program has enrolled an increasing number of persons who are unemployed or receiving public assistance. Additionally there have been yearly increases in the number of persons removed from welfare rolls, obtaining employment or better jobs as a result of experience gained in the program.

In spite of the program's record of achievement, a substantial number of adults remain in need of basic education. In 1974 the Bureau of Census reported more than 14 million Americans over the age of 25 without an eighth grade education, 6 million persons between the ages 25 and 34 without a high school diploma, and 15 million between ages 35 and 54 without a high school diploma. Millions of Americans could better participate in the labor market if they had the basic skills necessary to take advantage of job training to obtain and retain employment. The severely undereducated especially unemployed out-of-school youths and young adults, are particularly in need of educational services.

A number of Federal programs offer basic educational services to disadvantaged adults; however, the majority of these programs are not accessable to a large number of persons because of stipulations that services be offered to a limited clientele, i.e., certain age or ethnic groups, the unemployed, persons on welfare, military

personnel, etc. The adult education program is the only program open to all disadvantaged adults in need of basic and secondary education.

Many adults are "homebound" because of lack of transportation or child care and other responsibilities or because of their inability to fit into a group situation. To serve these people local agencies established "homebased" adult education programs in which the hard to reach were taught in their homes or the homes of other students. Homebased instruction created a learning atmosphere for other adults in the home as well as the children and often became a "family affair" in which learning and services were interwoven. In order to offer easy access to other participants, educational services were provided in a variety of settings such as elementary and secondary schools, churches, store fronts, learning labs, junior/community colleges, universities, mobile vans, community centers, union halls, hospitals, and businesses. However, for the most part, the program remained a public school part-time night operation which prevented ready access for many housewives and employed adults who work irregular shifts.

Several evaluations highlight program deficiencies and desirable improvements. Systems Development Corporation's report, Longitudinal Evaluation of the Adult Education Program (November, 1973) indicated that:

> -- Average scores on initial tests showed student achievement at the fifth-grade level of reading and at the sixth grade for mathematics. Mean gains between tests were half a grade for reading and three-tenths of a grade a mathematics. Thus in a four month period the average student gained half a year in reading achievement, and more than one fourth of them gained a full grade or more. Nearly one-fifth gained a full grade or more in mathematics achievement. However, approximately one-third of all students made no gains at all or even lost ground during the four-month interval;

— From 1971 to 1973 the ABE students who were interviewed reported increases in employment and earnings. Gains in earnings — from a mean of $336 per month to a mean of $407 per month — were large enough and well enough substantiated to be almost certainly real rather than the result of selective re-interviewing, increases in hours of work, inflation, or other general causes of wage fluctuations;

— The ABE programs studied made no concerted effort to enroll the "hard-to-reach" adult; word-of-mouth was the most common form of recruitment utilized; and

— Student turn over is large, even though many students attend regularly. Of the students enrolled in November 1971, less than 40 percent were still attending in May 1972. Almost all classes have open enrollment, accepting new students at any time.

The General Accounting Office's report, The Adult Basic Education Program: Progress in Reducing Illiteracy and Improvements Needed (1975) reviewed the program since its inception in 1965 and concluded:

— While only eight States operated any significant ABE programs before 1965, the report states that "two years later all 50 States, the District of Columbia, and five territories conducted adult basic education classes."

— ABE had expanded educational opportunities, but its current funding and operation is successfully reaching only a small fraction of those who need it, particularly among those most deficient in education.

Although we recognize the progress made by State and local agencies, we also realize improvements, in addition to those identified in evaluations, are needed in order to increase the number of persons served, especially those most in need of basic education, and to improve the effectiveness of the program. For instance:

1. It is increasingly apparent that hours spent in the classroom do not guarantee that real adult knowledge and skill have been gained. Furthermore, the sophistication of adult life is such that the attainment of basic literacy is often not enough;

adults with basic literacy skills have been found to be functionally incompetent. They can not apply their skills to real life situations. For this reason, the exclusive reliance of grade-equivalence to approximate an adult's knowledge and skills has increasingly become inadequate and inappropriate. Substantial progress has been made toward the development of practical constructs for the identification of adult competencies. The American College Testing Program (ACT) has developed two tests to access adult competency. Competency-based adult education models are being developed and field tested in a number of States. Much progress has been made in the development of competency based curriculum and the training of instructional personnel. However, much work remains to be done as (1) only a few States have instituted competency based programs and (2) competency based models, methods, and materials found reliable need to be disseminated nationally in order to effect a network of programs which help adults achieve a minimal level of competency.

2. State Educational Agencies should accelerate efforts to expand the adult education delivery system beyond the local educational agency, thus providing expanded programs with convenient and equitable access to those most in need of basic education and life coping skills.

3. States should establish more full time local programs which employ full time adult education teachers, administrators, and counselors in order to improve the quality and effectiveness of adult education programs.

4. The development and utilization of qualified professionals in adult education should be further promoted. Disadvantaged adults have unique educational needs which require the use of carefully designed and employed procedures, techniques and materials. Teachers of adults need pre-service and in-service training in the use of adult oriented instructional methodologies and curricula. Colleges and Universities are an excellent resource for this training. Largely as a result of staff development efforts initiated by OE, a great many more institutions of higher education now offer undergraduate and graduate programs in adult education. Nevertheless many more training resources are required in order to produce increased numbers of full-time professional adult educators and to adequately up-date the skills of already employed adult education personnel.

5. The capacity of State Educational Agencies to develop and increase resources and commitment for the adult education program needs to be strengthened. Although States are gradually passing legislation and increasing appropriations for programs to serve educationally disadvantaged adults, there are only a few strong advocacy groups to represent the interest of this segment of the adult population. Therefore the Federal Government's role in adult education is to financially and technically assist State agencies to meet the needs of the target group until the States are able to do so unassisted.

Where we have been:

APPENDIX 10

The search for achievable goals*

This paper is taken from "Rethinking the Act: Progress Toward Meeting the Goals of the Adult Education Act of 1966", prepared by Gene W. Scholes, George W. Eyster, and Ann P. Hayes of the Applachian Adult Education Center.

In the short history of the adult basic education program since the 1964 legislation, the issue of goals and the direction that adult education organizations should take in attracting and serving a clientele has been persistent. Preliminary explorations in which these authors were involved,[6] as well as other evaluative and descriptive studies conducted in New Hampshire,[7] Mississippi,[8] Missouri,[9] New York,[10] Wyoming,[11] and West Virginia[12] have indicated that the ABE program has not been achieving the purposes of the 1966 legislation in terms of its target population. The national ABE program has seemed subject to goal modification. This could be true simply because the adult basic education program has not been successful in attracting or holding Level I and II adult students, who require elementary-level, literacy education--the very poor. As an evaluation team observed in New Hampshire:

> *(1) Relatively few ABE students are members of the "hard-core" of undereducated adults in New Hampshire, and (2) the priorities in the New Hampshire state plan for ABE classes to be scheduled first for the lower level (grades 1-4) and next for the higher level (grades 5-8) do not seem to be met.*[13]

In 1969 Perryman's study of the Wyoming ABE program indicated that the main reason students enrolled in the program was to pass the GED or high school equivalency test.[14] Eighty percent of the total ABE enrollment in Wyoming had completed seventh grade of regular school or above.[15] Although functioning levels of reading and computation are far from synonymous with years of schooling, the Adult Education Act did specify that the "functional illiterate" (defined, perhaps erroneously, as one with less than five years of schooling) was to be the chief target of educational programs.

. . .

Client needs requires goal shift

In an educational organization, operational goals are often reflective of the needs and aspirations of the clientele which it serves. That is, in order to acquire the support among students necessary to pursue goals, the organization must satisfy the needs of the student population available to it, even though the stated objectives suggest accomplishment of different goals. This is especially true if educational organizations have little or no control over the admission and retention of students who participate in the program. Carlson developed a classification of possible two-factor relationships between service organizations and their clientele based on the factor of who makes the decision about participation in the program (selectivity).[16]

*This section draws heavily on the research completed by Gene W. Scholes and supported by the Appalachian Adult Education Center. Gene W. Scholes, "Adult Basic Education: A Case Study in Goal Determination" Ph. D. dissertation, University of Michigan, 1970.

[6] Evaluation Study of Kentucky Adult Basic Education Program, Frankfort, Kentucky, State Department of Education, Division of Adult Education, 1968.

[7] Survey of Adult Basic Education in New Hampshire, Washington, D. C., National Association for Public School Adult Education, 1969.

[8] Emmett T. Kohler and Don F. Seaman, Adult Basic Education in Mississippi: An Evaluation, Jackson, Mississippi: The Mississippi State Department of Education and the Bureau of Educational Research, Mississippi State University, 1969.

[9] William D. Kirk, An Analysis of Adult Education in Missouri, (Ed. D. thesis) Fayetteville, Arkansas: University of Arkansas, 1968.

[10] Adult Basic Education, New York State: A Two Year Study, 1966-67, Albany, New York: New York State Education Department, Bureau of Basic Continuing Education, 1968.

[11] Bruce C. Perryman, Basic and Local Adult Basic Education (ABE) Program Evaluation Survey for Wyoming, Cheyenne, Wyoming: Wyoming State Department of Education, 1969.

[12] Charles Divita, Jr., Adult Basic Education: A Study of the Backgrounds, Characteristics, Aspirations, and Attitudes of Undereducated Adults in West Virginia, West Virginia Research Coordinating Unit for Vocational Education, Huntington, West Virginia: Marshall University, 1969.

[13] Survey of Adult Basic Education in New Hampshire, op. cit., pp. 26-27.

[14] Perryman, op. cit., p. 58.

[15] Perryman, op. cit., p. 59.

[16] Richard O. Carlson, "Environmental Constraints and Organizational Consequences: The Public School and Its Clients," Behavioral Science and Educational Administration, ed. by Daniel E. Griffiths, The Sixty-Third Yearbook of the National Society for the Study of Education, Part II (Chicago, Illinois: The University of Chicago Press,) 1964, p. 270.

Table 1

SELECTIVITY IN CLIENT-ORGANIZATION RELATIONSHIP IN SERVICE ORGANIZATIONS

ORGANIZATIONAL CONTROL OVER ADMISSION	CLIENT CONTROL OVER OWN PARTICIPATION IN ORGANIZATION	
	YES	NO
YES	Type I	Type III
NO	Type II	Type IV

The outcome of the present design of most public school adult education programs resembles Carlson's Type II organization which does not control admission or continuing participation of clients, and clients have full control regarding whether or not they will participate in the offered instruction. When the organization takes no control over whom it serves, the organization will attempt to respond rapidly to the client's goal orientation in an effort to maintain his participation in the organization, even at the expense of not pursuing formally stated objectives--in the case of the adult basic education program the elimination of poverty through the elimination of illiteracy. A program like Carlson's Type II organization survives only as it can appeal to students who do enter the program and remain in it. Of necessity, therefore, the program is sensitive to the goals which prospective and currently enrolled students themselves possess, instead of designing specialized programs for specific clientele. This situation has arisen in ABE because so few elementary-level students enroll voluntarily in present programs that to limit enrollment to them would close the program.

ABE serves the easily reached

The national adult basic education program seeks to serve two distinct student target populations: the easily reached and the unreached. In the Scholes study of ABE through public schools in the Appalachian region the ABE program was found to be serving substantially:

More employed than unemployed	The sample of students worked an average of 36.52 hours per week and had been employed an average of 9.16 years at the same job.	
More females than males	68.2% female	
More over-35 adults than under-35 adults	Average age was	41.5 years
	Northern Appalachia	39.5 years
	Central Appalachia	38.4 years
	Southern Appalachia	47.4 years
	Beginning Level (Level I)	49.5 years
	Level II	40.1 years
	Level III	36.1 years
	Whites	36.9 years
	Blacks	51.3 years
More advanced level students than beginning students	Low attendance of beginning level students made it impossible to adhere to the sample design of obtaining one-third beginning level students, a problem not met at the intermediate and advanced levels.	

Obviously, the average ABE student is already upwardly mobile and could not be classified as the stationary hard-core poor.

The Appalachian example

The sample for the 1969 Scholes study of ABE goal determination in the thirteen Appalachian states was a carefully drawn random sample by degrees of urbanization in each geographic region (northern, central, and southern) and by program level of students (beginning, intermediate, and advanced). Therefore, this sample should be a valid representation of ABE in at least one-fourth of the states. It would seem that the easily reached tend to be the already employed, the females, the over-35 adults, and the advanced level students; the unreached tend to be the unemployed, the males, the under-35 adults, and the beginning level students. However, it is of particular importance that Scholes found in Appalachia that:

> *The literacy goal was the first goal choice of males, black students, and beginning level students; while the high school completion goal was the first goal choice of females, white students, and advance level students.*[17]

In short, ABE has responded to the goal orientation of the easily reached, directing the educational program towards accomplishment of high school completion goal. In fact, the 91st Congress has translated the once-operational goal into formally extended national legislation which legitimizes the program's efforts to provide secondary-level instruction for Level III adults.

While the ABE program should be commended for being responsive to the needs and goals of its easy-to-reach population, the organization must still maintain commitment to reaching its heretofore unreached target population. Resistance needs to be raised against complete goal evolution toward employed persons (albeit, underemployed), females, and advanced level students; the unemployed, the males, and the beginning level students need to be reached and taught within the context of ABE.

[17] Scholes, pp. 111-112.

APPENDIX 11

STATEMENT OF THE HON. RON deLUGO

before

THE SUBCOMMITTEE ON ELEMENTARY

SECONDARY AND VOCATIONAL EDUCATION

JULY 12, 1977

Mr. Chairman and Members of the Subcommittee:

I appreciate this opportunity to come before you today to discuss with you the subject of Adult Education and its current application in the Virgin Islands.

Since its inception, this program has been extremely beneficial. The combined basic Adult Education Course and High School Adult Education course is currently serving over 2,000 adult Virgin Islanders and helping them to join in and add to the society in which they live.

However, the Federally-funded section of this program is severely limited in the kinds of services it can offer and the numbers of adults it can reach, due to the manner in which the U.S. Territories receive funds under this Act.

The U.S. Territories of the Virgin Islands, Guam, American Samoa and the Trust Territories of the Pacific, receive a 1% set-aside from the funds appropriated under this Act. This 1% is then divided among the Territories based on the number of uneducated adults in each Territory as a per cent of the number of uneducated adults in the four Territories. Since 1974 the Virgin Islands has been receiving approximately 20% of these funds.

Over the years, the appropriation for the Adult Education Program has increased. In actual dollars, the 1% figure has also therefore increased each year. However, none of the increases has allowed the Virgin Islands to expand its services in any appreciable manner. Much of the new funds each year are devoted

to meeting continually rising costs. Materials, salaries, and administrative costs eat up any increase. It is a classic example of an inflationary treadmill - it costs more to stay the same. Except to keep the program operationsl, the adult has seen little real benefit from the ever-increasing funds.

I believe this should be changed. I have introduced legislation which was referred to this Subcommittee, to increase the amount of the set aside from the current level of 1% to a new level of 2%. Discussions with local Adult Education officials have convinced me that this is necessary.

Currently, the V.I. Adult Education program only offers 4 course per week of class time for adults. This is not very much time for an adult trying to learn basic skills such as reading and writing. This low level of class hours is compounded by the fact that the funds for Adult Education places a limit as to the number of teachers who can be hired. Thus, individualized attention, so badly needed by all students, is at a premium. Added funds would enable the local program to expand its class hours and to provide this attention.

Another reason for increased funding is that, currently, the V.I. Adult Education program only operates during the evening. Not only would added dollars bring expanded night classes, but a day program could be initiated as well. Due to lack of public transport in the evening and various family responsibilities,

many people who are eligible for adult education, and who desire it, cannot participate. A day program would remedy this situation. At present, every State has some form of day and evening program while the V.I. continues to have only a night program.

Increased Federal monies would also mean that more teachers could be hired. At present, due to lack of funds for teachers, the class size is limited. Thus the size of the program is kept low, leaving scores of adults without educational recourse. When one looks at the statistics for the Virgin Islands, the low numbers represented do not refer to lack of demand, but to a lack of resources to satisfy that demand.

The local government is trying to do all it can to reach the maximum number of adults. Whereever possible it economizes. For example, teachers in the V.I. are paid at a rate of $7.00 per hour. This compares unfavorably with the higher rates of $12.00 and up paid on the mainland. The policy of paying a lower per-hour rate to Adult Education teachers enables the local Government to hire more teachers.

In terms of acutal dollars we are speaking of less than $750,000. This is a small sum out of a total appropriation of over $80 million from 1977. Yet it would free the Territories from the fiscal restraints which curtail their operations and allow the program to reach the many adults who could benefit from it.

Thank you.